

EXHIBIT J

AMERICAN HUMANE ASSOCIATION

**D.G . vs Henry Consolidated Rebuttal of the Expert Witness Report by Jerry
Milner, DSW**

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Introduction and Organization of the Report

The purpose of this report is to provide expert opinions in rebuttal regarding one reports prepared by

Jerry Milner, DSW, expert witnesses for the Plaintiffs. The report reviewed is:

Plaintiff's Expert Witness	Report Title	Date
Jerry Milner, DSW	Foster Care Case Review of the Oklahoma Department of Human Services	February 17, 2011

Our basis for reviewing this document was to review, evaluate and then focus our comments on the scientific support (or lack thereof) for the opinions, findings, or conclusions made by Dr. Milner. In addition to the report we reviewed the depositions of testimony by Dr. Milner and Dr. Jacqueline Smollar.

Content Summary of the Report

The Center for the Support Families (CSF) case review Report prepared by Dr. Milner (Dr. Milner Report) was based on a cross-sectional point in time¹ sample of cases that were actively in out of home care (foster care) in the Oklahoma Department of Human Services Child Welfare (OKDHS) system. Several members of CSF staff were involved in preparing and conducting the case review. In addition Dr. Smollar, a contractor to CSF, conducted the bulk of the data analysis.

The sample of 374 children was drawn from a population of 6,701 children in care who had been in care for 60 or more days as of March 1, 2010. Dr. Milner and his colleagues reviewed the case records employing a case file review instrument consisting of over 1,000 items of information to be obtained

¹ Cross-sectional designs are ones where data are obtained from a population or a sample representing a group of study subjects at one point in time. For example, a sample of patients in a hospital on July 1, 2011 would be cross section of the hospital's patients. Often cross sectional studies are distinguished from longitudinal studies that measure a group of study subjects over a period of time.

from a review of the child's case file. The instrument covered such topics as child characteristics (including demographics), allegations of maltreatment in care, placement stability, attaining permanency, services, sibling placements, and worker turnover. The report includes various conclusions concerning the experiences of children in care.

Issues with the Methodology

The chief concern that we have with respect to the methodology employed for the report is related to the design of the study and particularly the nature of the population of children from which the sample is drawn. Most of the criticisms we have of the scientific basis for Dr. Milner's report stem from the fundamentals of the study's design flaws. Nevertheless there are specific criticisms related to other aspects of the study methodology and specific analyses and the resulting conclusions that we will highlight and critique as well.

Description of the Design

The sample for Dr. Milner's report was obtained from a cross-sectional point in time population of 6,701 children in foster care for 60 days or more as of March 1, 2010 (Milner, February, 2011, p 13). Children in congregate care, a subset of children in foster care, were first stratified and then sampled proportionally from the population. According to the Report "CSF reviewed a sample of 374 cases randomly selected from the list provided by OKDHS of 6,701 children who had been in OKDHS foster care custody for a minimum of 60 days as of March 1, 2010 (the sample date for the review)" (Milner, February, 2011, p 13). This sample, according to Dr. Milner, was drawn randomly.

From this point Dr. Milner and his colleagues reviewed the electronic and hard copy records of the children that were included in the sample. The bases for the conclusions in the report are the events that were recorded by the Dr. Milner's case file reviewers. These data were entered into a data base,

and tabulated. In some instances non-parametric inferential tests employing chi-square were also used for the data analysis.

Cross sectional point in time designs for analysis of children in foster care are appropriate for estimating the prevalence of children in the system, and the *fixed* characteristics of those children, for example, sex, race/ethnicity, and date of birth. However, most of Dr. Milner's analysis and conclusions in the Report are with respect to the experiences of children while in care. Such conclusions cannot be supported with the type of study design employed by Dr. Milner. To draw valid, scientifically sound conclusions regarding such experiences a longitudinal study of incidence² is minimally required. Experiences in this case refer specifically to events such as alleged and substantiated maltreatment in care, number of moves in placement, assignment of new workers, and any many other events both positive and negative that could potentially occur including reunification with parents, re-reentry into care, educational attainment, and adoption. One does not have to explore the child welfare literature very far before finding well known researchers who have made the same point concerning the point in time/cross sectional method used by Dr. Milner:

"To make my point, I draw on my and Goerge's work using child welfare administrative data to show how common approaches to the study of foster care can contaminate the sense of change over time. The principle liability that must be overcome is a dependence on cross-sectional or point-in-time samples. Typically, though clearly not always, researchers look at a group of clients selected at a point in time (point prevalence) or during some period of time (period prevalence) and ask questions about their experiences and their characteristics. If researchers are interested in outcomes, they might follow the group of children or families over a period of time to develop a longitudinal perspective of change as it unfolds, but this does not change the basic cross-sectional nature of the sample.

The problem with this approach has to do with cross-sectional samples of program participants. Specifically, the, probability of being selected to participate in a study of foster children is directly proportional to the length of time the child has been in foster care. In other words, children who have been in placement a long time are more likely to be included in the study than children who have been in foster care a short amount of time. To the extent that other characteristics of a child

² Incidence refers to the number of new events or conditions within a specified time period.

are related to length of time in care, those same characteristics will be overly represented in a cross-sectional sample.

Although this point has been made repeatedly over the years, agencies and governments continue to rely on point-in-time samples which continues to distort impressions of how the system is performing (Wulczyn, 1996, pp. 325-326)."

We will return to this issue in more depth, but suffice it to say that events observed using cross-sectional populations, and samples derived from them, *exaggerate the likelihood of events* because children with longer lengths of stay are more likely to be selected.

Sample Size

The sample size in Dr. Milner's report may be adequate for estimating the population as a whole from which it was drawn (6,701), however, as we will describe, it is not adequate for some of the analysis in Dr. Milner's Report which involve smaller subgroups of children. Regardless, it should have been a longitudinal rather than cross-sectional study and one that was stratified³ by the characteristics of the children and the outcomes being reviewed to insure representativeness. Dr. Milner's claim of representativeness, through the display of similar proportions in the sample as in the population for goals and placement types (Appendix E), is misleading. It would have been much more meaningful to show percentages in the sample in comparison to the population for Parts One to Seven (e.g., child characteristics, child maltreatment etc.). Because the sample is cross-sectional what this would reveal is that the percentage of older children in the sample is larger than the population, that time in care is longer for these children and that, because outcomes are more negative for older children with longer times in care, these negative outcomes too would be larger in the sample than the population. Thus, the sample cannot give us an accurate estimate of the events that happen to children in care because the sample is not representative of the actual population of foster care children. (see below for a further discussion). Additionally, the sample size is not sufficient to prevent large confidence intervals on some

³ A stratified sample is one that divides the population into smaller groups. The strata are based upon the attributes of interest in the study (in this case the events that children experience). The main advantage is that it produces numbers that are proportional to the overall population while insuring that members of the strata are appropriately included in the sample.

items. When confidence intervals are large they can exaggerate negative findings. For example, if 12% of the time children in the sample were substantiated for maltreatment and the confidence interval around that finding was 10 %, one could conclude that as much as 22% of the time children could have been substantiated for maltreatment.

60 Day Criteria

Regarding the selection of a 60 day in care requirement for children to be included in Dr. Milner's review of cases, we find no scientific basis for this requirement. There was no justification provided in Dr. Milner's report for this requirement. There was some policy related justification provided in Dr. Milner's deposition of testimony (Milner Deposition, May, 2011, pp. 110-116) having to do with the occurrence of case plans. Similarly, there is some policy related justification provided by the deposition of testimony by Dr. Smollar (Smollar Deposition, June, 2011, pp. 57-60) which points to un-cited studies that distinguish children in care for 60 days or longer. However, the problem with this line of reasoning is that events described in Dr. Milner's Report do occur with greater likelihood among children who are in care longer, however, the likelihood of such events for children in for fewer days is not zero. Thus, whenever children are in care, the risk of negative and positive events is present. From a statistical perspective selecting these children, in addition to the design flaw described above, orients or bias the review toward a high risk population of children in care, but this population cannot be considered as representative of children in OKDHS care.

Dr. Milner does not acknowledge in his deposition (Milner Deposition, May, 2011, pp. 107-109) that the likelihood of negative events occurring to children increase over time, only that the agency should prevent them. It seems contradictory that he would then elect to select a sample from a higher risk population as inferred by Dr. Smollar by using the 60 day criteria. If his reasoning is correct, then perhaps Dr. Milner does not believe that OKDHS has the same responsibility for protecting the child

during the first 60 days as in the days following. Presumably if he had felt the department bore this responsibility, children in care less than 60 days would have been included.

Finally, even though the case review was restricted to children in care for 60 or more days, the review included the period from the beginning of placement. From Dr. Milner's instrument we found the following reviewer instruction:

"For purposes of meeting legal requirements, OK policy defines the date of entry into foster care as the date of the adjudication or the date that is 60 days after the date on which the child is removed from the home. However, please note that for completing this protocol, when an item refers to the child's most recent entry into OKDHS custody, this means the date of the child's actual removal from the home (Milner, February, 2011, p 131)."

Clearly Dr. Milner was aware that some of the events of concern in his case review would have occurred to children in care less than 60 days and indeed if they did they would be included in his data analysis. We believe this reinforces the appropriateness of including in the sample children in care prior to 60 days in order to fully represent the experiences of all children in care.

Instrument

Two overall aspects are at issue from a scientific standpoint for the study instrument used by Dr. Milner: (1) the inter-rater reliability analysis process and (2) the validity of the instrument. In addition, there are problems with specific data collection items from the instruments that will be discussed in the sections that pertain to those findings.

For the inter-rater reliability analysis 34 children in the sample were reviewed and high rates of agreement were reported by Milner. However, it remains unclear from the Report or Dr. Milner's

deposition as to whether the high rates of agreement were achieved *after or before training*. If after training, then they could indicate a degree of success with respect to training. Ideally, the raters would not have known the purpose of the study and would have relied on blind reviewers to insure internal validity of the review process (Schulz & Grimes, 2002).

It is not clear from Dr. Milner's report or his deposition exactly how the inter-rater reliability aspect of his study was carried out. For example, in the report itself, the number of quality assurance ("QA") reviewers that were used was not mentioned. In the deposition it appears that two were chosen. Furthermore, how disagreements were resolved as part of the inter-rater review process in relation to the QA process is not clear in either document. Moreover, the rather high rate of agreement for such a complex instrument leads one to believe that the inter-rater reliability results were inflated.

There are several possibilities that would artificially inflate the level of inter-rater reliability. One would be that the case readers who were better at interpreting the information in the case record rated the cases for inter-rater reliability and this likely from the information provided in the deposition. Another possibility would be that when these raters disagreed, they would discuss the case, come to an agreement when they could and then re-rate the case. If this case was then used in the analysis of inter-rater reliability it would reflect the agreement reached *rather than the differences in rating identified originally*. This is a problem because it is not true inter-rater reliability. Finally, it is not clear how the percentage agreement⁴ was calculated. If every response to every item was included this would mean that responses indicating that the reader could not make a determination because the case file had missing information, the agreement would be inflated because this would be a relatively easy

⁴ This is defined in the report as the overall rate of agreement. Cohen's kappa coefficient is generally considered the preferred measure because it takes into account the agreement due to chance. There was no mention of this measure in the report or the depositions.

determination to make. The results in Table 1 (Milner, February, 2011, p 16) do indicate that there was a great deal of missing information in the case files that were reviewed and if the items reflecting this in the instrument were used to calculate inter-rater reliability then the reliability percentage is likely inflated. If this is the case, then the actual inter-rater reliability would be much lower if missing documentation items are excluded. This indicates that the instrument is defective or the readers needed to be retrained and inter-rater reliability calculated again.

The raters knew the purpose of the review they were conducting for Dr. Milner's Report [According to the deposition, Dr. Milner and his staff were hired by Children's Rights, Dr. Milner read the complaint and the case readers were also aware of the law suite and the reasons for the review. When the reader knows the desired outcome of the review it is quite easy for the reader to conclude (verify) what the reader already wants to conclude. This confirmatory bias is well documented across a wide variety of situations (Friedrich, 1993; Nickerson, 1998; and see Wason, 1960 for an original example). In other words, if an individual is told to look for problems in a set of cases they will find the problems they expect to find. Furthermore, if the outcomes of the case they are reading are known and presumed to be negative, the reader will find the faults they expect to find because they are told to look for it. If, on the other hand, they only had the information available to the caseworker who made the decisions at the time and not the results of those decisions, this bias is much reduced. Furthermore, the assessments of the decisions can be tested for validity against subsequent outcomes by assessing the relationship between the actions taken by the worker with the consequences to the child. This was not done in the study.

Construct Validity (Face, Content, Predictive. Construct)

There was no effort described in Dr. Milner's report to scientifically validate the case review instrument. As a result, the only form of validity that can be assumed was face validity, and even that is questionable

since there is no evidence in the report that someone independently reviewed the instrument who did not know that it was being used on behalf of the plaintiff. Furthermore, a “pilot test” of 4 cases, even if the reviewers were blind to the hypotheses, is too few cases to legitimately be called a pilot test. There are several forms of validation beyond face validity that could have been used by Dr. Milner to test the validity of the instrument. Instrument validity refers to the capacity of the instrument to accurately measure what it was intended to measure. Thus, Dr. Milner and his staff did not attempt to assess the following forms of instrument validity: criterion (concurrent or predictive), content, and construct. Criterion validity refers to the degree to which an instrument is correlated with other similar measures (concurrent) and whether it can predict an outcome it should predict (predictive). Content validity refers to whether the instrument covers a representative sample of the behavior the instrument intends to measure. Construct validity refers whether or not all of the forms of reliability and validity that are tested in total are believed to actually measure the construct they are intended to measure. In the absence of any tests of this nature there is no way of knowing whether or not Dr. Milner’s instrument actually assessed what he claims it assessed. As a result any conclusions reached through in Dr. Milner’s Report regarding the use of the instrument cannot be regarded as meeting the requirements for reasonable scientific methods typically used in this type of study.

Issues related to Methodological Assumptions

Overall Concerns with the Cross-Sectional Point in Time Design

As described above there is a very serious flaw with the overall design for the selection of cases used in the case review. The problem is that children who are in care for long periods are more likely to be selected in the population of children in a cross-sectional point in time design.

This is problematic with respect to all of the findings concerning events that Dr. Milner presents that have to do with length of time in care including maltreatment in care, placement stability, services, case

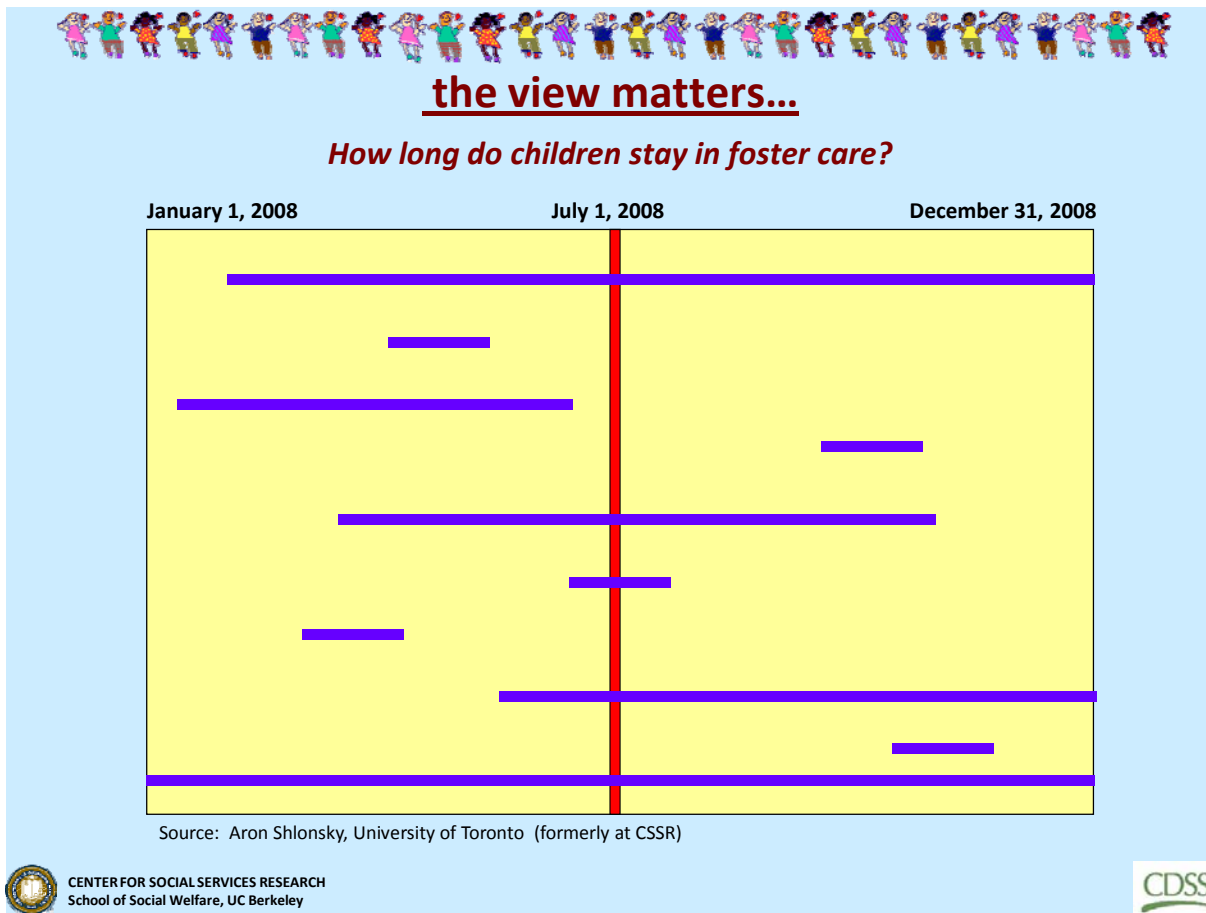
plan goals, and worker turnover. As a simple example consider patients with a life threatening form of cancer. If we observe these individuals over a period of time beginning with the date they were diagnosed we would undoubtedly discover that some individuals experience death in the first few months, some after six months, some after a year, and so forth. At each month, or week, or even day, the chances of a patient dying have a certain probability of occurring, referred to as the hazard rate. The cumulative hazard is the chance that a person after a given period time is likely to experience the event in the next period of time (Hosmer & Lemeshow, 1998). The key point is that the longer you are at risk of experiencing an event, the greater the chances that you will experience it. In fact Dr. Milner acknowledges the increased risk to children who have longer lengths of stay in a review of the literature found in his Report (Milner, February, 2011, pp. 57-58).

With enough subjects it would be possible to compute some other statistics, such as the length of time for half of the patients to die, or 75% percent of them. These are familiar statistics since the number of months it takes half the patients to die is called median survival time. Specific phenomena where events happen over time tend to have a defining set of statistical characteristics or a trajectory that is often very stable. This type of analysis applies not only to human mortality, but also to nuclear decay, how long people are employed, dropping out of college, etc. (Yamaguchi, 1992). It applies equally well to children in foster care. For example, the length of time in care can be considered a risk period that starts with the entry of the child into foster care. Within that risk period events like maltreatment have a certain risk or hazard of occurrence for as long as the child in care.

The basic underlying principle is that at each moment in time the likelihood of experiencing an event such as maltreatment in care, or moves in care has a certain probability. Thus children in care for longer periods of time are more at risk of these experiences than children who are in care for shorter periods of time. In fact, this is one of the primary reasons child welfare treats length of stay in care as a measure of

system performance for permanency (Adoption and Safe Families Act, 1997; Milner, February, 2011, pp. 57-58), where the objective is to shorten lengths of stay as much as possible without compromising safety.

So, it follows from the discussion above regarding event analysis, that children who are in care longer are more at risk of experiencing negative events in care. To return to the discussion of cross-sectional point in time studies and child welfare, such studies increase the likelihood that children who are in care longer are the ones who are most likely to end up in such studies (Wulczyn, 1996). This is illustrated by the figure below from the Center for Social Services Research at the School of Social Welfare at the University of California, Berkeley (Needell, personal communication).



The big rectangle in the figure represents the period from January 2008 through December 31, 2008.

The horizontal blue lines represent 10 children and their lengths of stay in foster care. The vertical red line represents the point in time (July 2008) where a population of children is drawn for analysis such as a case review, that is, a cross-sectional point in time of the population of children in care. In this example four children are selected with lengths of stay of four months or more, and one child is selected with a about a month of care. Left out of the population were four other children with one month of time in care and one child who was in care for about four months. So the unselected group had a median length of stay of one month, and the selected set of children had a median of length of stay greater than four months (we can't tell how much greater because two of the children selected were in care before or after 2008). This is essentially the same flaw in Dr. Milner's study. Children in the population Dr. Milner drew his sample from are more likely to have greater lengths of stay than children who are not included in the point in time sample. Consequently, they are not representative of the population of children in OKDHS care, and any conclusions regarding events will statistically exaggerate the occurrences of such events (maltreatment in care, moves, etc.) compared to the population of children in OKDHS as a whole.

Up to now rebuttal analysis has been a theoretical argument. One indicator that Dr. Milner's sample has the problems just described is illustrated by reference to the median length of stay calculated for his sample. According to the Report, Dr. Milner estimates this is 23 months, or that half of children would have been in care for 23 months up to the point he conducted the review. A prediction based on the discussion above would be that median length of stay measured in a scientifically appropriate way using an entry cohort with a longitudinal design would be shorter. Indeed, estimates of median length of stay for SFY 2006 -2009 are shown in the Table 1 below, based on data obtained from the OKDHS SACWIS

system⁵. These calculations are based on entry cohorts (incidence) from the population of children who entered care in those years, which as pointed out by Wulczyn (1996) is the appropriate source of data and design for understanding system performance. The estimates were obtained using the Kaplan-Meier (1958) product limit estimator procedure available in IBM SPSS Statistics 19.

As is apparent from Table 1 the median length of stay is considerably less for all children who entered OKDHS care in those years compared to Dr. Milner's estimate. This provides clear evidence that the sample and very likely the population of children used as the bases for Dr. Milner's Report are not representative of children in OKDHS care. Furthermore, the children represented in Dr. Milner's Report are more likely to experience events of all kinds because they are in care longer which would tend to exaggerate the findings in Dr. Milner's Report.

Finally, this analysis shows that there is a statistically significant annual trend toward shortened lengths of stay in the OKDHS data (Log Rank (Mantel-Cox), $p \leq 0.0001$), where the length of stay is reduced from a median of 15.5 months in SFY 2006 to a median of 13.3 months by SFY 2009. In the absence of data regarding child safety this trend cannot be regarded as positive improvement, however, if safety were not compromised or was improved, this trend would be an indication of more desirable performance by OKDHS in achieving permanency. Regardless, the method employed to analyze the data in Table 1 would be scientifically sound (Wulczyn, 1996).

⁵ A note on the reliability and validity of length of stay data in the OKDHS. Because the OKDHS SACWIS system is directly linked to provider payment financial system, length of stays corresponds to payments made by OKDHS to foster care providers. Consequently there is a built in and auditable cost accountability for these data.

Table 1 - OKDHS Entry Cohorts: Number of Months in Care by SFY Entry

State Fiscal Year	Number of Children	3 rd Quartile (25% in care)		Median Months in Care		1 st Quartile (75.0% in care)	
		Months	Std. Error	Months	Std. Error	Months	Std. Error
2006.00	6805	28.550	.350	15.474	.260	3.581	.298
2007.00	6429	27.072	.345	14.982	.228	3.450	.317
2008.00	5606	23.754	.342	13.306	.224	1.216	.226
2009.00	4474	23.819	.441	13.273	.255	1.840	.320
Overall	23314	26.185	.189	14.292	.122	2.497	.166

Despite the lack of scientific justification for doing so (see above), since Dr. Milner elected to choose only children who were in care for 60 days or more, a second analysis of these children was also obtained from the same OKDHS data set used for Table 1. As with all children, the lengths of stay for each year are shorter compared to the Dr. Milner's sample estimates. These statistics for length of stay are all in the direction that was anticipated given the discussion above. They provide compelling and scientifically sound evidence that the children in Dr. Milner's sample were at greater risk than the OKDHS foster care population for the events he includes in his analysis including maltreatment in care, placement stability, case plan goal changes, and worker turnover because of the design methodology used.

Table 2 - OKDHS Entry Cohorts: Number of Months in Care by SFY Entry for Children in Care 60 Days or More

State Fiscal Year	Number of Children	3 rd Quartile (25% in care)		Median Months in Care		1 st Quartile (75.0% in care)	
		Months	Std. Error	Months	Std. Error	Months	Std. Error
2006.00	5305	32.493	.399	20.435	.241	11.959	.209
2007.00	4992	30.817	.391	19.548	.251	12.025	.192
2008.00	4099	28.287	.372	18.595	.243	11.598	.183
2009.00	3336	28.912	.583	17.906	.253	11.203	.219
Overall	17732	30.456	.207	19.253	.129	11.762	.101

Scientifically speaking, to avoid the methodological flaw in his sample, Dr. Milner would have used a longitudinal design. Specifically, he would have selected a group of children who entered care in the same period, perhaps all children who entered care in SFY 2009 or 2010. These children would have been evaluated with respect to the key events, and with respect to other outcomes such as, reunifications and re-entries.

Dr. Milner's study design flaw as described in his Report and the resulting sample flaw exaggerates the negative experiences of children in care in OKDHS. A more rigorous scientific analysis would yield results with a better chance of improving child welfare in Oklahoma. The consequence of using Dr. Milner's analyses is that remedies derived from them could readily lead to unsound modifications of OKDHS resources or policies.

Internal Validity

Internal and external validity are also considered a part of construct validity. Internal validity refers to the ability of a study to determine cause and effect. This is typically achieved through experiments where variables are directly manipulated. When this cannot be done for ethical reasons, there are several research designs that can overcome problems of inferring cause and effect (Campbell and Stanley, 1963). Some designs are better than others at doing this. In general, the more "threats" to internal validity that can be ruled out, the stronger the design. The design chosen by Dr. Milner would be regarded as one of the weaker designs because it does not attempt to rule out any threats that apply to it. There are nine threats, or reasons, why studies can lack internal validity:

- History: Refers to one time and long term events that can interfere with the study and affect the outcomes of children. One example would be a legal or policy change. These are not directly considered by Dr. Milner, nor are they tested for in relation to outcome variables.

- **Maturation:** Refers to the passage of time that can alter results (e.g., as people grow older they change). In the present study we have children growing older in care and changing as a result. This is not considered by Dr. Milner nor tested for.
- **Testing:** The act of testing itself can affect the results of the study.
- **Instrumentation:** When the testing varies from one time to the next, one cannot determine whether the test or the intervention caused the outcome.
- **Statistical Regression:** The phenomenon that extreme scores move to the middle when calculated a second time.
- **Selection Bias:** This threat refers to the requirement of having comparable groups to start with. The cross-sectional design used by Dr. Milner selects more children with longer times in care and as a result has considerable selection bias.
- **Attrition:** This bias refers to having comparable groups at the end of the study (e.g., people, cases or information being dropped from the study for any reason). This affected Dr. Milner's study because the so much information was missing from the case files. We have no way of knowing from the report how much this affected the comparability of the sample to the population of children at the conclusion of the study.
- **Ambiguity about Cause:** Without proper controls it is not possible to determine what a cause is and what an effect is. In addition if other important variable are not considered, cause and effect is compromised. This affects Dr. Milner's study considerably since no tests are conducted between variables to rule out this ambiguity.
- **Diffusion of Treatment:** This refers to the impact of members of the control group receiving treatment (Stanley & Campbell, 1963).

As indicated above, five of the nine threats are likely to have affected the validity of the Dr. Milner study. The internal validity is compromised by potential historical and causal events not recorded in the case record or not identified by the reviewers. Maturation has an impact because of the nature of the sample. Selection bias has an impact because the cases are not representative. Attrition is also involved through the loss of information from cases that may differ from the population for one reason or another and certainly ambiguity as described above about the certainty of cause and effect will produce issues as well. Any conclusions drawn by the author, therefore, regarding the entire group of children in Oklahoma Department of Human Services are scientifically unreliable due to the lack of sufficient internal validity.

External Validity

Dr Milner's study and results also lack external validity. This refers to the ability of a sample to be generalized to other persons, places and over time. Though Dr. Milner claims external validity, he does not achieve it because the sample drawn is not representative of the population of children in OKDHS's care. As we have argued already, the lack of external validity means that the findings and conclusions are in error and solutions proposed based on those findings are not likely to improve conditions for the population as a whole.

Issues Regarding Findings

In this section we examine specific findings in Dr. Milner's Report. Included are specific issues with the design, sample, review instrument, and data analyses. As will be clear, many of the concerns we raise are tied directly to the overall design flaws in the study described above.

Findings Regarding Child Characteristics

Because the sample is not representative of all children in care and selects children with longer times in care, the ages of the children at entry into care and age in care is likely inflated. Similarly specific reasons

for entry into care (e.g., substance abuse) are likely to be inflated as well, since children placed for these reasons are more likely to have longer lengths of stay.

Findings Regarding Child Maltreatment

As described in the discussion above regarding the cross-sectional point in time design the number of prior reports, numbers reports of maltreatment, rates of investigations and rates of substantiated maltreatment (as well as other investigation findings) are likely inflated in relation to the experiences of all children in care because the design *oversamples* longer stays in care. Clearly, the longer a child is in care the higher the likelihood of a report and a substantiated instance of maltreatment.

From the perspective of Dr. Milner's instrument and instructions to his case reviewers for identifying child maltreatment, equating investigations with a finding of "unsubstantiated with services recommended" as "substantiated maltreatment" can't be supported from the information presented in the analysis in Dr. Milner's report or any study of which we are aware. Some service needs may have nothing to do with safety of the child, but pertain to the child's well being. Examples such as services for a newly identified or developmentally emerging disability, financial counseling services for the foster parents, a need for educational services such as an Individual Education Plan (IEP), and so forth are not directly related to maltreatment in care. In the absence of contextual information regarding the nature of the services or the reasons for recommendation it is not possible to conclude that maltreatment or child safety is driving the designation of a finding of "unsubstantiated services recommended." The use of the "unsubstantiated services recommended" as equal to substantiation further inflates the numbers of children maltreated in care.

The types of maltreatment allegations listed in the report do not include "threat of harm." Since a relatively large percentage of allegations identified in Mr. Goad's Report (Goad Report , March 2011, p

18) included such allegations it is surprising that they did not appear in Dr. Milner's report. However, from Dr. Milner's instrument allegations of this sort could not be obtained since they were not included in the list of maltreatment types that were available to the reviewers (Milner, February, 2011, pp. 179-180) on Dr. Milner's instrument. Thus it is possible that at least some of the allegations identified in Dr. Milner's report were for "threat of harm." The consequence of not including "threat of harm" likely exaggerates the nature or perceived severity of the maltreatment. This also further brings into question the instrument's validity since the instrument may not reflect actual OKDHS policy with respect to recognized forms of maltreatment.

There is no indication that the case examples used as illustrations (e.g., Milner, February, 2011, p. 27) were randomly drawn from a proper sample and as a result are not representative of the children in OKDHS custody and cannot be viewed as an objective source of information.

The meaning of "no actions taken" because they were not reported in the files of 24.8% of the cases (also likely inflated for because of selection bias) is unclear (Milner, February, 2011, p. 31). This could be due to the high level of missing information in the case file. This too would inflate the negative findings.

Findings Regarding Placement Stability

The placement stability findings suffer from the selection bias inherent in the cross-sectional sampling employed by the study. Reviews of the literature on placement indicate that multiple placements are more common early in placements (Center for Human Services. 2008), however, the cumulative risk of placement moves increase over time. Because the design is not longitudinal the findings cannot be used to determine the frequency of placement moves and are again not representative of the population of children in the care of OKDHS.

Placement stability is measured by counting the number of placements and assuming that more placements are detrimental for children in care. In fact, placement changes are not always detrimental

for children in care. This raises the question of what kinds of changes would be potentially be beneficial? Placements in a shelter while a relative home is verified for safety would be a beneficial placement if the child was then placed with relatives, as would a move to less restrictive care (e.g., from a residential treatment center to a relative). It would have been helpful to know how many placement changes occurred that would be a potentially beneficial change for a child and then to compare that to those determined not to be beneficial. It would also be helpful to know in Table 32 (Milner, February, 2011, p.) how the placement type was determined. Was this the first placement at entry, last, current, etc?

It is also unclear in the absence of any test of validity how the case readers determined that it would have been “appropriate” to try and prevent a placement change.

There is no evidence offered that would indicate that a move from an initial placement to a subsequent less restrictive one would indicate that the first placement was inappropriate as Dr. Milner claims in the report.

Dr. Milner indicates in the report that initial placements in shelters did not increase future stability. This finding is also questionable, because children with longer times in care are overrepresented and would be expected to have more placements and subsequent moves.

The findings in this section of the report on the consequences of longer durations on greater problem behaviors lend credence to our point about Dr. Milner’s sample selection being related to greater negative consequences for children. “When compared to children in custody for less than six months, children in custody for more than six months had substantially higher identified incidences of school-related behavioral problems, aggressiveness, sexual acting out, hyperactivity, and unusual or abnormal behaviors.” (Milner, February, 2011, p. 36).

The selection of the case studies to illustrate Dr. Milner's points about placement stability were not randomly selected and, similar to the cross sectional sample, are not representative of the population.

The outcomes with regard to relative placement and placement stability suffer from the same cross-sectional sampling issue. The sample contains more children with longer times in care and these children are more likely to have problems. As a result they are more likely to disrupt.

Because it is not clear whether placement changes were positive or negative, the results in Chart 1 showing that services to prevent a removal were not offered in a high percent of the cases are also not clear. This finding could indicate that no services were needed because the move was positive. This problem is not remedied by the data in Chart 2 showing the percentage not offered services when the cases Dr. Milner believes to be inappropriate for service offering are removed from the sample. He removes cases where the child had two or more placement settings and there is no reason to believe these are the inappropriate ones. It is an assumption without validation. A more proper way to do this type of analysis is to exclude positive placement changes.

Dr. Milner presents data on behavioral problems of the children in the sample that he suggests by way of the literature review should be related to placement changes. As indicated earlier, they are likely related to time in care as are placement changes. Dr. Milner makes no attempt to associate these three factors by way of the same analyses and to take into account both beneficial and harmful moves. This problem is not remedied by the analysis that categorizes behavioral problems by time in care (Milner, February, 2011, p. 56).

For children who enter care without an identified behavioral problem, were some of these infants or children under 3 when they came into care in Dr. Milner's sample? It would be very difficult to identify behavioral problems for children under 3 (Fluke & Oppenheim, 2010) and this would call into question the validity of the data on behavioral problems.

Findings Regarding Achieving Permanency

As Dr. Milner points out, the longer a child is in care the less likely he or she is likely to achieve permanency (Milner, February, 2011, pp. 57-58). Since the sample is cross sectional there are more children in the sample with longer times in care (Table 21) and fewer discharged to permanent placements than would have been the case had the sample been properly drawn (Tables 1 and 2 this report for time in care). Thus, the results in this section are not representative of the children in the care of OKDHS,

It may be appropriate to have a primary permanency goal and a concurrent goal. It is unclear in the report if both were set on the same date, and if so whether it would count as two goals in the measure in grid 2a (Milner, February, 2011, p. 120). Similarly, if there was a concurrent goal set after a primary goal it is unclear if that would count as two goals. Even if the latter were the case, the cross-sectional sample in this study overestimates the number goal changes because there are more goal changes associated with longer lengths of stay in care. Thus, Dr. Milner's results are not representative of children in the care of OKDHS.

A number of children did not have their parental rights terminated (TPR) within the federal standard of so that a plan of adoption could be pursued. The Adoption and Safe families Act of 1997 also indicates that this time frame can be bypassed if the reason for the delay is documented. What is not in the report is what percentage of children without TPR had a reason which may have clarified whether TPR was not possible.

The case study used as illustration is not randomly drawn from a proper sample and is not representative of the children in the care of OKDHS.

Findings Regarding Services

Lack of documentation of services in the case plan does not necessarily indicate that services were not provided. A better place to look for this information may have been in the departmental financial records where payment for services would have been recorded.

Dr. Milner offer no evidence that the absence of services resulted in negative outcomes for children.

Findings Regarding Caseworker Turnover

Caseworker turnover is relative to time and time in care is also biased in this sample of children by virtue of the cross-sectional nature of the sample. By the same token, both of these measures are related to the number of permanency goals and other events that occur to children over time. Without proper sampling and proper analyses that take time into account along with these other factors no conclusions can be drawn from the findings in this section of the report.

Concerns Related to Conclusions

In the executive summary of his Report Dr. Milner concludes the following:

“Although many of the findings of this review are cause for great concern about the care that OKDHS provides to children in its custody, the greatest concerns are those associated with the maltreatment of children while in custody and the movement of children from placement to placement while in custody because of their impact on the overall safety and well-being of children, which public child welfare agencies are charged to protect (Milner, February, 2011, p. 10).”

The analysis supporting this conclusion is based on a design that is statistically and methodologically flawed in a known and predictable ways which in turn prevents a scientifically valid acceptance of this conclusion. As stated and explained above, the cross-sectional point in time case design means that children who are in care longer had a greater likelihood of being included in Dr. Milner’s case file review

sample than children with shorter lengths of stay. Maltreatment while in custody and movement from placement to placement are events subject to greater cumulative occurrence the longer children are in custody. Dr. Milner himself acknowledges the increased risks for negative outcomes, including placement changes, the longer the length of time in care based on the literature review that he presents in his report (Milner, February, 2011, pp. 57-58).

Consequently, since the sample consists of those children with longer lengths of stay compared to the whole population of children who come into OKDHS custody, it is very likely that children in Dr. Milner's sample will have a greater chance of experiencing these negative events. However, because Dr. Milner's samples are not representative of the children who come into care, and because overall lengths of stay are shorter and correspondingly less risky, the actual likelihood of maltreatment while in care and movement from placement to placement is smaller, and potentially much smaller.

Even though negative events among children in the OKDSH foster care system are not as common Dr. Milner claims and to the extent that the specific events impacting children were accurately identified, it would be difficult to argue that actual negative events are not a cause for concern. However, it is crucial to view child welfare as a system. In systems, adjustments in one part of the system can result in unintended and costly consequences for another part of the system (Senge,1990) or the system as a whole. To avoid such errors, scientifically sound and recognized procedures are available for the analysis of child welfare data and outcomes (Wulczyn, 1996). These methods should be employed to identify any actual issues in the OKDHS system that, which if need to be addressed, would be sound basis for actual improvements. This in contrast compared to remedies that might be inferred from the erroneous conclusions in Dr. Milner's Report which on the basis of his analysis, likely as not, would either not lead to improvements or the possibility that more children might be harmed.


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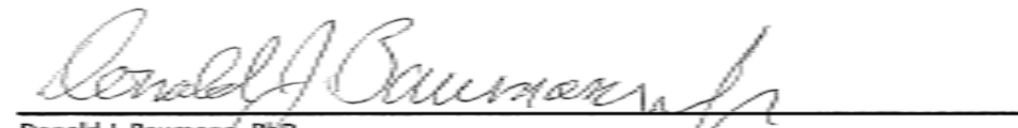
Signature Pages

The authors of this rebuttal report reserve the right to use as an exhibit at trial any of the charts, graphs, tables or diagrams contained in our report, as well as any item in our considered materials.

During the previous four years neither John D. Fluke, Ph.D., nor Donald J. Baumann, Ph.D. have testified as an expert at trial or by deposition.



John D. Fluke, Ph.D.
June 15, 2011



Donald J. Baumann, PhD
June 15, 2011

Appendix A - Hours Worked for the Rebuttal Reports (Hess, Goad, Miller, Milner)

Through June 15, 2011

John D Fluke	135.75 hours	billed at a rate of \$325/hour, contributes to regular salary
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Donald Baumann	42 hours	billed at a rate of \$200/hour, direct compensation @ \$195/hour
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Appendix B - Curriculum Vitas

John D, Fluke, Ph.D.

Donald P. Baumann, Ph.D.

John D. Fluke, Ph.D.

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**JOHN D. FLUKE, Ph.D.
CURRICULUM VITAE**

EDUCATION:

Ph.D., Organizational Decision Science, Union Graduate School, Cincinnati, Ohio, 1995.

Periodic Graduate course work in Economics (Econometrics), Statistics and Mathematics at the University of Colorado in Boulder and Denver, 1981-1990.

M.A., Anthropology, Pennsylvania State University, University Park, Pennsylvania, 1980.

B.A., Summa Cum Laude, Individualized Tutorial Program (ITP), Emphasis in Mathematical Anthropology, University of Northern Colorado, Greeley, Colorado, 1976.

EXPERIENCE:

Child Protective Services Research Center, American Humane Association, Englewood, CO,
(2007 to Present): Vice President and Founding Director

Dr Fluke rejoined American Humane as the center's founder and director. Established with private funding, the purpose of the research center is to address long-standing issues related to the improvement of public child protective services. Research focuses on fundamental issues in child protective services and the development of evidence-based policy and practices to effectively address them. Among others, the initial areas of focus is to include assessment and decision-making processes in child welfare cases, examination of the system's racial disproportionality, improved ways to scale up the implementation of evidence-based intervention and treatment practices at agencies and community service providers, and the further development of a global network of child abuse and neglect data-collection systems and professionals. The Center supports the global network of professionals who form the International Society for the Prevention of Child Abuse and Neglect Working Group on National Child Maltreatment Data Collection Programs for which Dr. Fluke is the co-chair and a network founder.

Key projects are listed below:

- **Chapin Hall, Foster Care Redesign for the Texas Department of Family and Protective Services (2010-2011):** The Texas Department of Family and Protective Services is in the process of developing a modified financial system for reimbursing providers of out of home services in order to leverage funds to improve services aimed at creating settings that meet children's needs and that shorten their time in care to planned exits without comprising safety or well being. Under sub-contract to Chapin Hall, Dr. Fluke is a project consultant to TDFPS.
- **Center for the Study of Social Policy Alliance for Racial Equity in Child Welfare – Research Literature Review on Disproportionality and Disparities (2010)**
This project calls for a compilation and analysis of research related to racial and ethnic disproportionality and disparities in child welfare, primarily beginning with research

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published since Bob Hill's *Research Synthesis in Child Welfare: An Update* (October 2006). The analysis will also compare studies to previously conducted research syntheses by Bob Hill on the topic, as well as any earlier studies that may not have been included in previous papers. Dr Fluke was the Principal investigator.

- **UNICEF, Cross-National Child Disciplinary Practices: An Analysis of the Multiple Indicator Cluster Survey (MICS) of Households(2009):** Child discipline - deliberate actions on the part of parents designed to teach self-control and acceptable behavior on the part of children – has broad implications for child well-being. In particular, harsh discipline in the form of corporal punishment (not including physical abuse) is associated with adult mental health problems, delinquency, and adult criminal behavior. A clearer understanding of disciplinary practices on a global basis has implications for the development of effective prevention strategies. This study utilized the Multiple Indicator Cluster Survey (MICS3), a representative cross-sectional household survey conducted by UNICEF and its partners, and similar data from the Demographic and Health Surveys (DHS) in over 35 countries. Dr Fluke was the Principal investigator.
- **Kingdom of Saudi Arabia National Family Safety Program — Program Report Data Project: (2010)** The purpose of this project was to review and help expand the analytic capacity of the child maltreatment administrative data system under development by the National Family Safety Program (NFSP) in the Kingdom of Saudi Arabia (KSA). The scope of work was carried out by team members of the Child Protection Research Center, through a subcontract to the International Society for the Prevention of Child Abuse and Neglect (ISPCAN).

Walter R. McDonald & Associates, Inc., Centennial, CO

(2003 to 2007): Vice President for Research:

As a participant with the management of the company the primary responsibilities were to oversee the research and evaluation functions and services of the organization. This position involved oversight for the company's research projects and senior research staff, client relations, and participation in strategic planning and implementation.

Walter R. McDonald & Associates, Inc., Aurora, CO

(1999-2003): Director of Research:

These responsibilities emphasized research design and implementation, capturing and analysis of data, and reporting of findings directed toward enhancing the mission of the company. These were achieved through the developing and communicating useful information to clients, provision of direction and support to the research division, linkage of research and evaluation to communications, marketing, and organizational learning.

Key projects are listed below:

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- **Center for Mental Health Services (CMHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Comprehensive Community Mental Health Services for Children and Their Families Program, Phase V (2005 – 2007):** This 5 year national evaluation involving 25 sites was intended to describe the children and families served, including behavioral, emotional, and functional characteristics; determine how children and their families change over time; document the services delivered and the effects and costs of these services; evaluate how systems of care develop over time; investigate the relationship between system change and child and family outcomes; document cultural and linguistic competence; examine the nature and effects of family-driven and youth-guided care; evaluate the effectiveness of factors influencing the implementation of systems of care and evidence-based practices within systems of care; develop evaluation capacity and quality monitoring in system of care communities; and identify factors influencing the sustainability of these programs. Dr. Fluke was the Principal Investigator for the project.
- **Washington State DSHS Children's Administration, Washington State Workload Study (2006-2007):** A study to develop recommendations for workload standards for Child Welfare services. The study entailed collection of workload data from over 2,000 staff and the development of cost benefit information to support the implementation of a State Wide Automated Child Welfare Information System. Dr. Fluke was the strategic advisor for the project.
- **New York State Office of Children and Family Services, Study of Child Welfare Workload (2006):** This study concerned the development of workload requirements for child protective services, foster care, adoption, and preventive services in the State of New York, including both the public and private voluntary sectors. The study addressed the services and tasks conducted by case workers in their case management and case planning functions. Dr. Fluke was the Analytic Consultant for this project.
- **American Bar Association (ABA), Division of Children and the Law, Judicial Dependency Workloads (2005-2006):** WRMA is assisting the ABA in piloting a methodology to measure judicial workloads as related to best practice. The process involves collecting time log data from judges; supplemental data from trained court observers; Delphi Group data on time estimates; and judicial automated systems data. Dr. Fluke researched the development of best practice based workload standards for judges and for estimating workload requirements. Dr. Fluke helped design the study and provided consultation and analytic support for this project.
- **ORC Macro, Subcontract for the Cross Site Evaluation of the National Child Traumatic Stress Initiative of the Substance Abuse and Mental Health Services Administration, Department of Health and Human Services (2004 – present):** This 5 year project entails the design and implementation of a national cross site evaluation for the National Child Traumatic Stress Initiative, a network of over 50 sites that provides direct and indirect services aimed at supporting the development of trauma informed

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services. WRMA is a subcontractor to ORC Macro, and Dr. Fluke was the corporate officer and is the co-leader of the evaluation design team.

- **Children's Bureau, Administration for Children Youth and Families, U.S. Health and Human Services, Fourth National Incidence Study of Child Abuse and Neglect (2004–present):** Walter R. McDonald & Associates, Inc., is a subcontractor to WESTAT on this project which entails developing and implementing a complex sentinel sampling design to measure child maltreatment incidence. Dr. Fluke is a member of the team involved with aspects of the research design and is a member of the technical advisory group for the project.
- **The Development of a Statewide Approach to the Assessment of Child Safety, Family Strengths and Caregiver Protective Capacity, California Department of Social Services (2003):** Under sub-contract to Patricia Schene and Associates, Dr. Fluke assisted the State in developing a uniform approach to child and family assessments for the State. The assessments address critical aspects of the Child Protective Services re-design effort, including a new system of diversified response.
- **Office of the Assistant Secretary for Planning and Evaluation, Department of Health and Human Services, Secondary Analysis of Data from the National Child Abuse and Neglect Data System (2003–present):** A data analysis project to examine three topics of policy concern to related to the identification and amelioration of child maltreatment. The topics are male perpetrators, alternative response, and a longitudinal analysis. Dr. Fluke is the Principle Investigator for the project.
- **Performance And Outcome Reporting System, Department of Public Social Services, County of Riverside California (2002 -):** Dr Fluke was the principle investigator on this project to develop a performance and outcome reporting system, and is currently the corporate officer. The project is directed at developing a measurement system for services provided by Community Based Agencies under the auspices of the Child Abuse Prevention, Intervention, and Treatment (CAPIT) program and the Promoting Safe and Stable Families (PSSF) program.
- **Aurora Community Mental Health Center, Evaluation of the Aurora Mental Health Center's Grant to Operate a National Child Traumatic Stress Initiative Community Treatment and Service Center (NSCTI-CTS) (2002 – present):** Dr. Fluke has operated as consultant to the Center in developing its approach to evaluation and provides evaluation technical assistance to staff who are planning and running programs under the auspices of the grant.
- **Foster Care Re-Entry Study, Division of Child Welfare Services, Colorado Department of Human Services (2001- 2002):** An analysis of administrative data to address children who re-enter foster care within twelve months of reunification to identify patterns in demographic and service activities that might explain re-entry and impact the

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Adoption and Safe Family Act reunification standards. Project Director responsible for all aspects of this study.

- **F2F/Internet Training for Data-Based ASFA/MEPA Decision Making, School of Social Work, University of Texas at Arlington (2000 – 2003).** A three year grant through the Children's Bureau, Administration of Children Youth and Families to develop and test a training curriculum on the Adoption and Safe Families Act performance measures for the Texas Department of Protective and Regulatory Services. The project entails the development of an internet based training and the use of On Line Analytic Processing methods as a basis for the data used in the training. Dr. Fluke directs the WRMA subcontract.
- **Texas Department of Protective and Regulatory Services, Texas Title IV-E Adoption Assessment Waiver Demonstration Project Cost-Effectiveness Analysis Project, (2001–2003):** This project was to assess the cost-effectiveness of its title IV–E waiver on adoptions. The project linked with the overall evaluation of the project and utilized performance measures and cost data that were derived, as well as administrative data resources. Dr. Fluke was the project director responsible for all aspects of the study and developed an administrative-level computer simulation model to support administrative assessment of program efficacy and in forecasting the impacts of changes in services due to the introduction of new policy. This was one aspect of an on-going multi-year research project of the Department, funded in part by a research grant from the HHS Children's Bureau.
- **National Study of Child Protective Services Systems and Reform Effort, Office of the Assistant Secretary for Planning and Evaluation, Department of Health and Human Services (2000-2003):** The goal of this study was to provide a comprehensive description of child protective services (CPS) systems nationwide and to examine in depth some of the recent innovative reform efforts that are underway. Team leader for the data analysis and reporting component.
- **Evaluation Infrastructure Development, Orange County Children's Commission (2000- 2001):** The project called for the development of common protocols for evaluation to be employed by evaluators of programs funded by the Orange County Children's Commission. Project Director responsible for all aspects of the study.
- **Louis de la Parte Florida Mental Health Institute, Department of Children and Family Studies, University of South Florida, Technical Assistance in Developing Child Welfare Performance Measurement Reporting (2000-2001).** The purpose of this project was to the assist the institute in its work the Florida Department of Children and Families to analyze the State's administrative data and prepare an annual report regarding the performance of its foster care system and overall performance of its child welfare program. The role was to act as a project advisor and technical assistance consultant.

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- **Benefits Workload Study, San Mateo County Human Services Administration (2000-2001):** A project to assist the county obtain and analyze workload data for purposes of workload standard setting, budgeting and workload allocation for CalWORKs/TANF, Medicaid, Food Stamps and other benefits programs. Project Director responsible for all aspects of the study.
- **Senate Bill 2030 Workload Study, California Department of Social Services (1999-2000):** A twelve month statewide project to assist the state obtain and analyze workload data for purposes of workload standard setting, budgeting and workload allocation in the area of child welfare services. Project Principle Investigator responsible for all aspects of the study including staffing, study design, data analysis and reports.
- **Technical Assistance for the National Child Abuse and Neglect Data System, Children's Bureau, Administration for Children Youth and Families, US Health and Human Services (1991-):** Walter R. McDonald & Associates, Inc., assists the HHS Children's Bureau develop, collect and analyze national data on child abuse and neglect reports including aggregate reporting data from between 48 and 50 states each year and state submitted case level data. Dr. Fluke is the data analysis team leader.

The American Humane Association, Children's Division, Englewood, CO,
(1979-1999):

Director of Program Analysis and Research: Senior position involved primary responsibility for the analytic consultation, research, and evaluation performed by the division. Supervision of the agency's research staff consisting of eight research professionals. The work focused on general project design and implementation related to public child protective services and community-based program evaluation for state social service agencies across the country, for the Federal Government and other agencies providing children's services. Dr. Fluke directed or contributed to numerous research and program evaluation projects and provided consultation to many states and to the federal government in the areas of children's services decision making, administrative data analysis, workload and resource management, and automated child welfare information systems.

Key projects are listed below:

PROGRAMMATIC EXPERIENCE

- **Idaho Risk Assessment Project (1997-2000):** A three year project to assist the Idaho Department of Family and Children Services develop an approach to risk and safety assessment. The project entails the development of a risk assessment and safety assessment protocol, instrument, training, and evaluation. Dr. Fluke was one of the project co-directors.
- **Iowa Outcome Measures Project (1997-1999):** A project to design an outcome measures data collection system for the Iowa Department of Adult, Family, and Children Services. The project will address the definition of outcome domains and indicators for Iowa as a whole,

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the development of community outcomes for a selected range of sites, and the development of a system for results based budgeting. Dr. Fluke was one of the project co-directors.

- **Casey Managed Care Initiative (1997-2000):** This initiative was developed by Annie E. Casey Foundation and Casey Family Services to assist children's services agencies address the issues associated with the proliferation of managed care approaches in the field. During the first eighteen months the project objectives are to develop a principles document, an outcome measures framework and model set of decision making protocols. The American Humane Association is the lead agency in a consortium of national organizations including the Institute for Human Services Management and the American Bar Association. Dr. Fluke was the project director.
- **Innovative Programs with Child Protection Linkages (1995-1997):** As a part of the Clark Foundation Child Welfare Reform Initiative this project includes an in-depth on-site study of two innovative programs: the PATCH model in Cedar Rapids Iowa, and Family Group Decision Making implemented in Oregon. The study entails a systematic analysis of the programs, policies, staffing and operations. It also includes an ethnographic analysis of four families at each site. Dr. Fluke was the director of the evaluation component of the project.
- **Philadelphia Outcome Measures Project (1996-2000):** This three year project entails implementing an outcome measures data collection system for the City of Philadelphia's Children and Youth Division. Included in the development process are measures of in-home services, short term placement services, and long term placement services. Dr. Fluke was one of the project co-directors.
- **Illinois Child Endangerment Protocol (1994-2000):** A project to assist the state of Illinois to develop a Child Endangerment Protocol for the Department of Children and Family Services, including developing instrumentation for assessing safety, curriculum for child safety, development of a process for certifying worker competence in regard to risk and safety and evaluation of the reliability and validity of the protocol. Dr. Fluke was the project director.
- **Texas Screening, Permanency and Decision Making Study (1993-2000):** An on-going multi-year research project of the Texas Department of Protective and Regulatory services funded in part by a research grant from the HHS Children's Bureau. The goal of the project is to develop decision making tools for use by workers and supervisors in reaching decisions about screening reports of child maltreatment, providing services, making placements, and closing cases. Dr. Fluke has been an active member of the study advisory committee and a member of the research team. Under the auspices of this project Dr. Fluke developed the Children's Services Simulation Model (CSSM) an interactive mathematical model designed to assist program management in forecasting the impacts of changes in services due to the introduction of new policy.

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- **Evaluation of the Pennsylvania Approach to Child Protective Service Risk Assessment: (1991-1993):** AHA under contract to Erie County Office of the Children, Youth, and Families and the Pennsylvania Office of Children, Youth, and Families conducted several related sub-studies including ascertaining the effects of risk assessment implementation on selected aggregate system variables; determining the psychometric properties of three risk assessment models and of the 18 core factors; designed a study and implemented the examination of predictive validity; and determined the impact of risk assessment implementation on worker and agency operations. Dr. Fluke was the project director.
- **The National Resource Center on Child Abuse and Neglect (1991-1996):** The National Resource Center on Child Abuse and Neglect (NRCCAN) is operated by the American Humane Association as the United States government's center for resources and services to improve the capacity of public and private agencies to respond effectively to the problem of child abuse and neglect. Dr. Fluke was a project consultant and advisor and was the project manager for the first year.
- **Colorado Family Preservation (1994-1995):** The American Humane Association's purpose and objective for this project is to help the State ensure that the planning process is as comprehensive as possible and meets federal requirements to involve a wide cross-section of the community in the development of the five-year plan. Dr. Fluke assisted in developing the evaluation component of the plan.
- **Illinois Staff Development (1992-1993):** American Humane Association was contracted to develop training resources by analyzing the current tasks being performed by child protection investigators and then to develop competencies needed to perform the tasks. Dr. Fluke assisted in the development of an evaluation of training needs and competencies.
- **Grand Rapids Michigan Children's Service Needs Assessment (1994-1995):** The American Humane Association conducted a research study of families to address the pertinent demographic characteristics of client groups, how these families fall into high, moderate or low risk categories for future maltreatment, the specific services needed by the families, and the projected costs for services. Dr. Fluke was a consultant to the project.
- **Navy Family Advocacy Program Risk Assessment Consultation (1993):** The purpose of the project was to assist the Navy to develop a Family Advocacy Program Risk Assessment System. The system was designed to be implemented throughout the Navy. Dr. Fluke was a project consultant.
- **Maryland Workload Analysis and Baseline Evaluation Study (1988-1989):** The purpose of this study was to obtain data on key performance indicators related to the provision of child protective services to serve as a baseline for comparison with similar data to be collected after implementation of a comprehensive state plan to include risk assessment, a new data system, a worker support system, and a competency-based training curriculum. The

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project also included a workload study to develop CPS workload standards for the state. Dr. Fluke was project director.

- **Screening in Child Protective Services (1986-1988):** This project, performed under sub-contract to the American Bar Association, focused on screening and prioritization at intake in five states and twelve communities to determine if CPS policy has an effect on actual CPS practice at the point of intake. Data to conduct the study were obtained from a national survey of state laws and policies; a survey of 100 county administrators and supervisors regarding local screening and prioritization; an on-site study of CPS screening in 12 communities from 5 states; a survey of representatives from community agencies in the 12 participating communities; and case registry follow-up of children who were subjects of CPS contacts during the study period. Dr. Fluke was the sub-contract project director.
- **Child Protective Services Risk Assessment Reliability Study (1988-1989):** The purpose of this project was to assess the reliability of a risk assessment instrument developed for use by Colorado CPS workers throughout the case process. Dr. Fluke was the project director.
- **Class Action Lawsuit Alleging Inadequate Child Welfare Services Due to Large Caseloads (1990-1991):** Legal Services Organization of Indiana. Dr. Fluke was an expert witness.
- **National Resource Center for Child Abuse and Neglect (1986-1990):** National Center Child Abuse and Neglect, Federal Health and Human Services. This was a five year grant to operate a resource center to address the systemic needs of service providers and particularly CPS agencies. Dr. Fluke was project manager.
- **Protective Services Hot-line Feasibility Study; Arizona Department of Economic Security (1986):** This study entailed a statewide assessment of the need for a statewide hotline, and resulted in a recommendation that it was probably not warranted at the time. Dr. Fluke was the project manager.
- **Comprehensive Review and Recommendation for Child Protective Services Policy (1985):** Wyoming Department of Public Assistance and Social Services and South Carolina Department of Social Services. These were broad based evaluations of CPS for these states. Dr. Fluke analyzed the state policy documents.
- **Analysis of State Agency Variation in Reporting and Disposition; Virginia Department of Social Services (1983):** The purpose of the project was to evaluate the variation in reporting practices between counties. Dr. Fluke performed the analysis of the central registry data.

RESEARCH EXPERIENCE:

- **Dynamics of Unsubstantiated Reports: A Multi-State Study (1997–2001):** This project was a federal research grant to understand unsubstantiated dispositions in a multi-State context. The objectives were to develop an understanding of how the characteristics of law, policy, practice, case and decision-making are related to the distribution of unsubstantiated dispositions and the outcomes of unsubstantiated dispositions. Dr. Fluke was the principal investigator for the grant.
- **Workload Project; Arizona Department of Economic Security Administration for Children, Youth and Families (1998-1999):** A six month project to assist the state obtain and analyze workload data for purposes of budgeting and workload allocation. Dr. Fluke was the project director.
- **Colorado Caseload Study; Department of Human Services Division of Child Welfare Services (1998-1999):** A project to calculate and report on average caseload size for the state and counties to address the requirements of Colorado Child Welfare Settlement Agreement to reduce caseloads. The project also entails the development of recommendations regarding a workload measurement for child welfare in Colorado. Dr. Fluke was the project director for AHA.
- **Illinois Outcome Measures Project (1997-2000):** A project to assist the University of Illinois Children's Research Center develop procedures and analyze administrative data related to the production of outcome measures for use in court monitoring. Dr. Fluke was the project director.
- **Colorado Analytic Data Base Development; Department of Human Services Division of Child Welfare Services (1997-):** A project to develop an analytic data base from extracts from the Colorado foster care data system and child protective investigation system. The project also involves training the Colorado staff in the analytic data base construction methods. Dr. Fluke is the project director for AHA.
- **Colorado Subsidized Guardianship Project; Department of Human Services Division of Child Welfare Services (1996-1997):** The project objectives were to explore models of cost benefit analysis in the area of subsidized guardianship policies for kinship care and to develop a computer simulation with parameters derived from Colorado foster care data to address cost benefit concerns. The simulation model was designed to address a range of policy scenarios and assist the state in developing its subsidized guardianship policy. A versions of the Children's Services Simulation Model was used as a base for the simulation and modified to address the project needs. Dr. Fluke is the project director for AHA.
- **Technical Assistance for the National Child Abuse and Neglect Data System (1991-):** Subcontract to Walter McDonald and Associates. The American Humane Association assists the National Center on Child Abuse and Neglect develop, collect and analyze national data

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on child abuse and neglect reports including aggregate reporting data from between 48 and 50 states each year and state submitted case level data. Dr. Fluke is the subcontract project manager.

- **Rhode Island Workload Management Project (1994-1995):** The project objectives were to develop unit of service definitions, case work practice standards, workload standards, define a system to promote workload equity and to develop a decision support system to assist DCYF supervisors and administrators maintain equitable workloads. Dr. Fluke was the project director for the AHA subcontract.
- **Kentucky Staffing and Workload Evaluation (1992-1993):** The American Humane Association assisted the Kentucky Department of Social Services by providing an evaluation of child protective service workloads and examining current child welfare practice expectations. Dr. Fluke was co-director of the project.
- **Child Welfare Decision Enhancement Project (1993-1995):** Texas Department of Protective and Regulatory Services. Dr. Fluke is a research consultant to this project.
- **Child Protective Services Unit Costing and Service Optimization Project (1990):** The purpose of this project was to develop a unit costing technology that administrators could use for ongoing analysis and financial planning for the Texas Department of Protective and Regulatory Services. The data were combined into a software model that prepares information system extract files for organization and analysis on a system composed of personal computers. The project included initial development of a computer model for optimizing service delivery based on workloads, costs and case outcomes. Dr. Fluke was the project director.
- **Inter-Installation Study of Family Advocacy Central Registry Data Collection Procedures; Office of Family Policy and Support, Department of Defense (1989-1990):** This project involved identifying variations and inconsistencies in data collection procedures. Recommendations were made related to improving data collection procedures. Dr. Fluke was the project director.
- **Family Advocacy Central Registry Data Utilization Project; Office of Family Policy and Support, Department of Defense (1989-1990):** The purpose of this project was to develop training for DOD Central registry staff on data utilization. Dr. Fluke was the project director.
- **Ohio Workload Analysis and Resource Management Project (1988-1989):** The purpose of this project was to define meaningful child welfare service units, to analyze the characteristics of the child welfare workload, to expose administrative staff to the unit costing method, and to develop CPS workload standards that could be implemented in the four participating Ohio counties. Dr. Fluke was project director.

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- **Program Classification and Child Evaluation/Referral Systems for New York City's Foster Care Program; American Bar Association Subcontract (1990):** This project involved assisting NYC develop an information system to match children with appropriate placement resources consistent with the terms of Wilder consent decree. Dr. Fluke was the subcontract project manager.
- **National Child Abuse and Neglect Reporting Study; National Center on Child Abuse and Neglect; Federal Health and Human Services (1979-1988):** This multi-year grant was the pioneer effort to collect and report on state child abuse and neglect reports. It involved the collection and analysis of both aggregate and case level data and was the antecedent of the NCANDS project. Dr. Fluke was originally a research analyst and became the project manager.
- **Management Information System Design; Project SAFE Department of Defense (1985-1986):** The objective of the project was to develop a system approach to data collection across multiple programs. Dr. Fluke was a consultant.
- **Analysis of Family Advocacy Reporting System; Department of the Navy (1983-1984):** The Navy contracted with American Humane Association to perform the first analysis of its reporting data. Dr. Fluke was the research analyst for the project.

PRIVATE CONSULTANT

1997-1998 **Consultant** - Workload Measurement for Services to the Developmentally Disabled, State of Washington Department of Social and Health Services, Olympia, Washington.

1995-1998 **Consultant** - Expedited Permanency Program Evaluation; Patricia Schene, Littleton, Colorado.

1995 **Consultant** - Adoption Yardstick Project; Child Welfare Research Center, University of California, Berkeley, California.

1991 **Consultant** - California Integrated Service Agency Project; Fourtech Corporation.

1983-1988 **Consultant** - Animal Welfare and Control Information System; Metropolitan Animal Services Council.

1986 **Consultant** - Social Services Reporting System: Adoptions; Sperry Corporation.

MEMBERSHIPS:

Professional Advisory Boards and Related Responsibilities

Present

Visiting Scholar, Graduate School of Social Work, University of Denver

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Founding Member – International Society of the Prevention of Child Abuse and Neglect (ISPCAN) Working Group on Child Maltreatment Data (ISPCAN-WGCMD)
Editorial Board, Journal of Technology in Human Services
Member—International Society for the Prevention of Child Abuse and Neglect
Advisory Board, Center for Violence and Injury Prevention, George Warren Brown School of Social Work, Washington University, St. Louis, MO, USA
Partner, Preventing Violence Across the Lifespan Network, McGill University, Hamilton, Ontario, Canada.
Advisor, Central Independent Advisory Board, Balkan Area Epidemiological Study of Child Abuse and Neglect, Institute Of Child Health Department Of Mental Health And Social Welfare Centre For The Study And Prevention Of Child Abuse And Neglect, Athens, Greece

Past

Technical Advisor to the National Incidence Study on Child Abuse and Neglect
International Study on Violence Against Children, Consultation convener- United Nations
Technical Advisor on Risk Assessment Research to the School of Social Work, University of Toronto
Technical Advisor to the Outcomes Initiative of the New Zealand Children and Young Persons & Their Families Service
Technical Advisor to the Canadian Incident Study, Health Canada
Technical Advisor to the Commission on the Role of Culture and the Assessment of Risk in African American Children and Families - Black Administrators in Child Welfare
Co-convener - Roundtable on Child Protective Services Risk Assessment
Advisory Board for the National Child Abuse and Neglect Data System
Research Advisory Board for the Texas Risk Assessment Evaluation.
Board Member - Mental Health Service, Inc.
Board Member and Board President - Aurora Community Mental Health Center
Board Member - Arapahoe County Placement Alternatives Commission
Member - International Society for the Prevention of Child Abuse and Neglect

PEER REVIEWED PUBLICATIONS

- 2011 Gilbert, R., Fluke, J., O'Donnell, M., Gonzalez-Izquierdo, A., Brownell, M., Gulliver, P., Janson, S., & Sidebottom, (commissioned article, expected publication in 2011). Trends in child maltreatment in six developed countries. Lancet.
- 2011 Detlaff, A., Rivaux, S., Baumann, D. J., Fluke, J.D., & Rycraft, J. R. (accepted, expected publication in 2011), Disentangling substantiation: the influence of race, income, and risk on the substantiation decision in child welfare. Children and Youth Services Review.

PRESENTATIONS & PUBLICATIONS

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- 2011 Drake, B., Jolley, J., Lanier, P., Fluke, J., Barth, R., & Jonson-Reid, M. (2011). Racial bias in child protection? a comparison of competing explanations using national data. *Pediatrics Online*, 127(3).
- 2010 Fluke, J. & Oppenheim, L. (2010). Getting a grip on systems of care and child welfare using opposable thumbs. *Evaluation and Program Planning*. 33(1) 41-44.
- 2010 Fluke, J., Chabot, M., Fallon, B., MacLaurin, B., Blackstock, C. (2010). Placement decisions and disparities among aboriginal groups: An application of the decision making ecology through multi-level analysis. *Child Abuse & Neglect*, 34(1), 57-69.
- 2010 Fallon, B., Trocme, N., Fluke, J., MacLaurin, B., Tonmyr, L., Yuan, Y. (2010). Methodological challenges in measuring child maltreatment. *Child Abuse & Neglect*, 34(1), 70-79.
- 2009 AlEissa, M. A., Fluke, J.D., Gerbaka, B., Goldbeck, L., Gray, J., Hunter, N., Madrid, B., Van Puyenbroeck, B., Richards, I. & Tonmyr, L. (2009). A commentary on national child maltreatment surveillance systems: Examples of progress. *Child Abuse & Neglect* 33(11) 809–814.
- 2009 Fluke, J. (2009). Allegory of the cave: on the theme of substantiation. *Child Maltreatment* 14, 69-72.
- 2008 Fluke, J. (2008). Child protective services rereporting and recurrence—Context and considerations regarding research. *Child Abuse & Neglect*, 32(8), 749-751.
- 2008 Fluke, J., Shusterman, G., Hollinshead, D., Yuan, Y.T. (2008) Longitudinal analysis of repeated child abuse reporting and victimization: multistate analysis of associated factors. *Child Maltreatment*, 13(1), 76 – 88.
- 2006 Schoech, D., Basham, R., Fluke, J.D. (2006) A technology enhanced EBP model. *Journal of Evidence-Based Social Work* 3 (3/4), 55-72.
- 2004 Schoech, D., Fluke, J.D., Basham, R., Baumann, D. J., Cochran, G. (2004) Visualizing multilevel agency data using olap technology: an illustration and lessons learned. *Journal of Technology in Human Services* 22 (4), 93-111.
- 2003 Fluke, J.D., Yuan, Y.T., Hedderson, J., & Curtis, P. A. (2003). Disproportionate representation of race and ethnicity in child maltreatment: Investigation and victimization. *Children and Youth Services Review* 25(5/6), 359–373.
- 2002 Fluke, J., Parry, C., Shapiro, P., Hollinshead, D., Bollenbacher, V., The case on unsubstantiated cases, *Policy & Practice*, 60(3) 16 – 22.

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- 2001 Fluke, J., Edwards, M., Bussey, M., Wells, S., and Johnson, W., Reducing recurrence in child protective services: impact of a targeted safety protocol, *Child Maltreatment*, 6(3), August, 207-218
- 2000 Fluke, J., Edwards, M., Kutzler, P., Kuna, J., Tooman, G., Safety, permanency, and in-home services: applying administrative data, *child welfare*, LXXIX (5) September/October, 573-596.
- 1999 Fluke, J., Yuan, Y. T., Edwards, M., Recurrence of maltreatment: an application of the national child abuse and neglect data system (NCANDS), *Child Abuse & Neglect*, 23(7), 633 –650.
- 1999 Poertner, J., Bussey, M., Fluke, J. (1999). How safe are out-of-home placements? *Children and Youth Services Review*. v 21 n 7, 549-563.
- 1995 Wells, S.J., Fluke, J., D., Brown, C. H. (1995). The decision to investigate: child protection practice in 12 local agencies, *Children and Youth Services Review*. 17(4). 523-535.
- 1991 Nassar, R. and Fluke, J., Pet population and dynamics and community planning for animal welfare and animal control, *Journal of the American Veterinary Medical Association*, Vol. 198(7), 1160-1164.
- 1990 Downing, J. D., Wells, S. J., and Fluke, J., Gatekeeping in child protective services: a survey of screening policies, *Child Welfare*, LXIX(4), 357-369.
- 1989 Wells, S.J., Stein, T.J., Fluke, J. and Downing, J., Screening in child protective services, *Social Work*, 34 (1), 45-48.
- 1989 Fluke, J. and O'Beirne, G., Artificial intelligence-an aide in child protective service caseload control systems, *Computers in Human Services*, 4, 101-109.

MONOGRAPHS AND BOOK CHAPTERS

- 2011 UNICEF. (2011). *Child Disciplinary Practices at Home*, New York: UNICEF (contributing author).
- 2011 Baumann, D.J., Dalgleish, L., Fluke, J., Kern, H. K. (2011). *The Decision Making Ecology*. American Humane Association: Denver.
- 2009 Wulczyn, F., Daro, D., Fluke, J., Feldman, S., Glodek, C., Lifanda, K. (2009). *Adapting a Systems Approach to Child Protection: Key Concepts and Considerations*. Chapin Hall at the University of Chicago: Chicago.
- 2008 Fluke, J., Tonmyr, L., Bianchi, B., Gray, J., Halifax, J., Kim, C. (2008). *Frameworks for*

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- international comparison of child maltreatment data. World Perspectives on Child Abuse: 8th Edition. Chicago: ISPCAN
- 2005 Fluke, J., Shusterman, G., Hollinshead, D., Yuan, Y.T. (2005) Rereporting and Recurrence of Child Maltreatment: Findings from NCANDS (Washington, DC: U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation).
- 2005 Shusterman, G., Hollinshead, D., Fluke, J., Yuan, Y.T. (2005) Alternative Responses to Child Maltreatment: Findings from NCANDS (Washington, DC: U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation).
- 2005 Shusterman, G., Fluke, J., Yuan, Y.T. (2005) Male Perpetrators of Child Maltreatment: Findings from NCANDS (Washington, DC: U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation).
- 2003 English, D. Fluke, J.D. and Yuan, Y.T. (2003). Alternative response to child protective services investigations. In N. Trocmé, D. Knoke, and C. Roy (Eds). *Community collaboration and differential response: Canadian and international research and emerging models of practice* (pp. 64 – 74). Ottawa, ON: Child Welfare League of Canada.
- 2001 Fluke, J., Parry, C., Shapiro, P., Hollinshead, D., Bollenbacher, V., Baumann, D., Davis-Brown, K., **The Dynamics of Unsubstantiated Reports: A Multi-State Study – Final Report**, Denver, Colorado: The American Humane Association.
- 2001 Fluke, J. **Data Construction and Analytic Methods for Large Child Maltreatment Data Sets**, Paper and presentation for the Forum on the Canadian Incidence Study of Reported Child Abuse and Neglect (CIS) and the Étude sur l'incidence et les caractéristiques des situations d'abuse, de négligence, d'abandon, et de troubles de comportement sérieux signalées à la Direction de la protection de la jeunesse (DPJ) au Québec (EIQ). Val David, Québec.
- 2001 Fluke, J., Graham, C., Baumann, D., Esterline J., **System Dynamics Simulation of Child Welfare Permanency Outcomes: an Application of the Children's Services Simulation Model (CSSM)**, In M. Hernandez and S. Hodges (Eds.), Developing Outcome Strategies in Children's Mental Health (pp. 183-201). Baltimore, MD: Paul H. Brookes Publishing Co.

PRESENTATIONS

- 2011 Fluke, J., (invited presentation) Indicators and the protection of children victims of exploitation and violence. Stakeholders Meeting "Applying the European Union Agency for Fundamental Rights Indicators on the Rights of the Child: Policy Priorities for Data

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- Collection.” European Union Agency for Fundamental Rights, February 22-23, Vienna, Austria.
- 2011 Fluke, J., Research synthesis on child welfare disproportionality and disparities: child welfare entries, Race & Child Welfare: Disproportionality, Disparity, Discrimination: Re-Assessing the Facts, Re-Thinking the Policy Options -Working Conference, January 28-29, Harvard Law School, Cambridge, MA .
- 2011 Fluke, J., Dalton, E., Needell, B., Wulczyn, F., Courtney, E., Baumann, D. Taking research to practice: rethinking outcomes and performance measures for the child and family service reviews. Society for Social Work Research Annual Conference, Tampa, FL.
- 2010 Fluke, J., Safety outcomes and safety decision policy: NCANDS and administrative data capacity, limitations, and prospects. Partners for Our Children, November 2, Tacoma, WA
- 2010 Gray, J., Fluke, J., Mansell, J., Madrid, B., Valentine, K., Van Puyenbroeck, B. & Graham, D. (presentation) International Child Maltreatment Data Collection Programs: Context, Perspectives, and Prospects for Development. 18th ISPCAN Congress, September 26. Honolulu, HI.
- 2010 Casillas, K., Fluke, J., Cappa, C. The multiple indicator cluster survey (MICS) of households: cross-national surveillance system to address disciplinary practices. International Family Violence and Child Victimization Research Conference, July 13, Portsmouth, NH.
- 2009 Gray, J., Fluke, J., Mansell, J., Madrid, B., Valentine, K., Van Puyenbroeck, B. & Graham, D. (presentation) International Child Maltreatment Data Collection Programs: Context, Perspectives, and Prospects for Development. 8th ISPCAN Asian Pacific Regional Conference and Australasian Conference, November 17. Perth, WA, Australia.
- 2009 Fluke, J. (presentation) Outcomes in the Long Run: Ingredients for Children’s Protection and Welfare Outcomes Programs. The Second Canadian Roundtable on Child Welfare Outcomes Center for Research on Children and Families, 8 – 9 October, 2009. Centres of Excellence for Children’s Well-Being: Child Welfare, Montreal, Canada.
- 2009 Gray, J., Fluke, J., Tonmyr, L. (presentation) The International Society for the Prevention on Child Abuse and Neglect (ISPCAN) Working Group on Child Maltreatment Data Collection. Congress of the British Association for the Prevention of Child Abuse and Neglect, September 15. Swansea, Wales, UK.
- 2009 Fluke, J., Dalgleish, L., Baumann, D., Wulczyn, F. & Steffen, C. (presentation) Risk Assessment Is Not All There Is: Child Maltreatment Decision Making. 17th National Conference on Child Abuse and Neglect, April 2, Atlanta, USA.

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- 2009 James, J., Hargett, B., Fluke, J., Parrish, D., Deserly, K., Miller, O. (workshop) Achieving Service Equity, A Forum on Using Research and Promoting Practice to Address Disproportionality. 17th National Conference on Child Abuse and Neglect, April 1, Atlanta, USA.
- 2008 Fluke, J., Tonmyr, L. International Child Maltreatment Data Collection Programs: Context and Perspectives. XVIIth ISPCAN International Congress on Child Abuse and Neglect, Hong Kong, China.
- 2008 Baumann, D., Capouch, D., Fluke, J., and Ortiz, M. Unlocking Disparities: Provider and Community Perspectives. 21st National Research Conference, Research & Training Center for Children's Mental Health, USF - Florida Mental Health Institute, Tampa, Florida.
- 2007 Fluke, J.D., Yuan, Y. T., Gaudiosi, J., (2007). Child Neglect – An Overview of Incidence, Reporting and Child Characteristics. 20th National Research Conference, Research & Training Center for Children's Mental Health, USF - Florida Mental Health Institute Tampa, Florida
- 2007 Fluke, J.D., (2007). The National Child Abuse and Neglect Data System (NCANDS): development and utility of an existing system for collecting data and monitoring child abuse in the US. EUROPEAN SEMINAR ON MONITORING SYSTEMS OF CHILD ABUSE Child abuse: which kind of data for monitoring? 18 January 2007, Istituto degli Innocenti, Florence, Italy.
- 2006 Fluke, J.D., Parry C. F., Baumann D., Sheets J., Wittenstrom K., Jeffries V. (2006). Symposium on Multi-National Research Applications of the Decision Making Ecology (DME) and General Assessment and Decision Making (GADM) models to the Issue of Racial and Ethnic Overrepresentation of Protective Services: Modeling Decision Factors in the US. XVIth ISPCAN International Congress on Child Abuse and Neglect, York, England, UK.
- 2006 Fluke, J. (2006). Symposium on International Child Maltreatment Data Collection Programs: Context and Perspectives, The National Child Abuse and Neglect Data System. XVIth ISPCAN International Congress on Child Abuse and Neglect, York, England, UK.
- 2006 Fluke, J. (2006) Mettre à Jour du US National Child Abuse and Neglect Data System (NCANDS): Tendances et Comparaisons. Presentation at the 74th Association francophone pour la savior (ACFAS), Montreal, Quebec, Canada.
- 2006 Fluke, J., Shusterman, G., Hollinshead, D., Yuan, Y.T. (2006) Rereporting and Recurrence of Child Maltreatment: Findings from NCANDS. Presentation at the 19th Annual Research Conference on Children's Mental Health - A System of Care for

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Children's Mental Health: Expanding the Research Base, Tampa, FL.

- 2005 Gaudiosi, J., Fluke, J.D., Needell, B., and Wulczyn, F., NCANDS in-depth: Lessons on Outcomes. Presentation at the 15th National Conference on Child Abuse and Neglect, Boston, MA.
- 2004 Fluke, J. D., Managing the Risk of Harm to Children, presentation to the meeting "Keeping Children Safe: The Child Protection System Challenge?" Wingspread Conference November 10-12, 2004
- 2004 Dalgleish, L., Hollows, A., Fluke, J., and Baumann, D., Steps to a Decision Making Ecology for Child Protective Services: A Multi-National Research Perspective. Presentation at the 15th International Congress on Child Abuse and Neglect, Brisbane, Australia.
- 2004 Fluke, J., Yuan, Y.T., and Gaudiosi, J., The National Child Abuse and Neglect Data System. Presentation at the 15th International Congress on Child Abuse and Neglect, Brisbane, Australia.
- 2004 Schoech, D., Farris, J., Fluke, J.D. , and Wittenstrom, K. (2004). Putting data where it counts: deploying child welfare data through OLAP and data warehouse technology. Presentation at the 2004 Annual Conference of the National Resource Center for Information Technology in Child Welfare, Crystal City, Virginia.
- 2004 Gaudiosi, J., Fluke, J.D., Edwards, M., Needell, B., and Sermons, M.W. (2004). NCANDS in-depth: lessons for program improvement. Presentation at the 2004 Annual Conference of the National Resource Center for Information Technology in Child Welfare, Crystal City, Virginia.
- 2003 Schoech, D. Rycraft, J. Fluke, J.D. and Baumann, D. (2003). *Integrating IT, Research, and Performance Measurement: The DEMOS Project*, Paper presented at the 2003 Tools That Work Conference, Child Welfare League of America, Miami, Florida.
- 2003 Fluke, J.D. (2003). *Overview of differential response models in the United States: Results from the Study of CPS Systems and Reform Efforts*. Paper presented at the 4th National Child Welfare Symposium: Community Collaboration and Differential Response, Banff, Alberta, Canada.
- 2003 Radel, L., Sedlak, A., & Fluke, J.D. (2003). *The National Study of CPS Systems and Reform Efforts: Results from the Local Agency Survey*. Paper presented at the 14th National Conference on Child Abuse and Neglect, St. Louis, MO.
- 2003 Peddle, N.A., Yuan, Y.T., Gaudiosi, J., Edwards, M.T., & Fluke, J.D. (2003). *The evolution of a National Reporting System on Child Maltreatment: 25 years of progress*. Paper presented at the 14th National Conference on Child Abuse and Neglect, St. Louis,

PRESENTATIONS & PUBLICATIONS

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- 2003 Cherna, M., Harrell, J., & Fluke, J.D. (2003). *From development to implementation: Using data to improve State and local prevention initiatives*. Paper presented at the 14th National Conference on Child Abuse and Neglect, St. Louis, MO.
- 2003 Fluke, J.D., & Hollinshead, D. (2003). *Child Maltreatment Recurrence: A Leadership Initiative of National Resource Center on Child Maltreatment*. National Resource Center on Child Maltreatment, Duluth, GA.
- 2002 Fluke, J.D. (2002). *Disproportionate representation of race and ethnicity in child maltreatment*. Paper presented at the Children's Bureau Research Roundtable on Children of Color in Child Welfare, Washington, DC.
- 2002 Co-Presenter Presenter with Peddle NA, Yuan YY, Gaudiosi J and Edwards M **Charting the Evolution of a National Reporting System on Child Maltreatment: A Reflection of 25 Years of Progress**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 Co-Presenter Presenter with De Marco, R., Gray, J., Cawson, P., and Yuan, YY., **Comparing National Incidence Data as a Means for Charting the Progress of Child Maltreatment Intervention Strategies**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 **Using Technology for Charting Service Outcomes**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 **Charting Progress in Bridging the Gap Between Practice and Accountability: The Case of Recurrence of Maltreatment**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 **Dynamics of Unsubstantiated Reports of Child Abuse and Neglect: A Decision-making Ecology**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 Co-Presenter with Thomas Hay and John Gaudiosi, **Recurrence of Maltreatment: Avoiding a Repeat of History**, Children 2002: Making Children a National Priority, Child Welfare League of America, March, Washington, DC.
- 2001 **Co-Presenter with John Gaudiosi**, Future Directions For Child Abuse And Neglect Research, **Annual Research Conference, Child Welfare League of America, June, Denver, Colorado.**

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- 2001 Co-Presenter with Cindy Parry and Donald Baumann, **Dynamics of Unsubstantiated Reports of Child Abuse and Neglect**, Annual Research Conference, Child Welfare League of America, June, Denver, Colorado.
- 2001 Co-Presenter with John Gaudiosi and Jeff Johnson, **Reports, Victims, Maltreatments: What is the Difference? An Introduction to Understanding Child Maltreatment Statistics**, 13 National Conference on Child Abuse and Neglect, April, Albuquerque, New Mexico.
- 2001 Co-Presenter with Cindy Parry and Dana Hollinshead, **Dynamics of Unsubstantiated Reports of Child Abuse and Neglect**, 13 National Conference on Child Abuse and Neglect, April, Albuquerque, New Mexico.
- 2001 Workshop Co-Presenter and Organizer with Fred Wulczyn, **Forecasting and Monitoring Performance in Child Welfare and Children's Services Using Computer Simulation Context, Methods, Examples, and Prospects**, Annual Research Conference: A System of Care for Children's Mental Health, Louis de la Parte Florida Mental Health Institute, February, Tampa, Florida.
- 2001 Presenter and Organizer, **Symposium on the Use of Administrative Data in Child Welfare Research and Evaluation**, Annual Research Conference: A System of Care for Children's Mental Health, Louis de la Parte Florida Mental Health Institute, February, Tampa Florida.
- 2000 Presenter, **System Dynamics Simulation of Child Welfare Permanency Outcomes: An Application of Children's Services Simulation Model (CSSM)** The 13th International Congress on Child Abuse and Neglect, September, Durban, South Africa.
- 2000 Presenter, **The Dynamics of Unsubstantiated Reports: A Multistate Study – Worker and Supervisory Decision Making**, The 13th International Congress on Child Abuse and Neglect, September, Durban, South Africa.
- 2000 Workshop Presenter, **Child Welfare and Children's Services Simulation Workshop Context, Methods, Examples, and Prospects**, Louis de la Parte Florida Mental Health Institute, University of South Florida, Tampa, Florida.
- 1999 Presenter with Donna Pope, **The Impact of Family Preservation Services on Long-Term Out-of-Home Placement in Colorado**, Seventh Annual Roundtable on Outcome Measures in Child Welfare Services, San Antonio, TX
- 1999 Presenter with Ying-Ying T. Yuan, **Outcomes for Child Protective Services: Application and Prospects for the Use of NCANDS Data**, Seventh Annual Roundtable on Outcome Measures in Child Welfare Services, San Antonio, TX

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- 1998 Presenter, **The Dynamics of Unsubstantiated Reports: A Multistate Study - Policy Review**, The 12th National Conference on Child Abuse and Neglect, November, Cincinnati, OH
- 1998 Presenter, **The Dynamics of Unsubstantiated Reports: A Multistate Study - Policy Review**, The 12th International Congress on Child Abuse and Neglect, September, Auckland, New Zealand.
- 1998 Presenter, **Enduring Issues in Using Administrative Data: Child Protection**, Annual Meeting of The National Association for Welfare Research and Statistics, August, Chicago, IL.
- 1998 Presenter, **Using Administrative Data to Measure Child Welfare Outcomes**, Administrative Data In Child Welfare: Research Strategies And Prospects For The Future, June, Cornell University, Ithaca, NY.
- 1998 Presenter, **Promoting the Dialogue Between Local and National Data Systems**, Sixth Annual Roundtable on Outcome Measure, April, San Antonio, TX.
- 1997 Presenter, **Subsidized Guardianship: Simulation Model Use and Considerations**, Kinship Care: A Natural Bridge, August, San Francisco, CA.
- 1997 Convener and Instructor, **Seminar on the Utilization Computer Simulation in Child Protective and Child Welfare Services**, Chapin Hall Center for Child and Families, University of Chicago, July, Chicago, IL.
- 1997 Presenter, **Child Maltreatment Recurrence**, 11th Roundtable on Child Protective Services Risk Assessment, July, San Francisco, CA.
- 1997 Presenter, **Child Maltreatment Recurrence**, 5th International Family Violence Research Conference, Durham, June, New Hampshire
- 1997 Presenter, **Status of the National Child Abuse and Neglect Data System**, National Child Welfare Conference, Washington, DC.
- 1996 Workshop Presenter, **Outcome Measures in Child Welfare Services**, Eleventh National Conference on Child Abuse and Neglect, Washington, DC.
- 1996 Mini-Plenary Organizer and Presenter, **Weaving the Future of Research and Evaluation: the Need to Know**, Eleventh National Conference on Child Abuse and Neglect, Washington, DC.
- 1996 Presenter, **Family Decision Making and Community Based Social Work in the United States**, Eleventh International Congress on Child Abuse and Neglect, Dublin, Ireland.

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- 1996 Workshop Organizer and Panelist, **National Child Maltreatment Data Collection and Analysis Systems: Perspectives from Four Countries**, Eleventh International Congress on Child Abuse and Neglect, Dublin, Ireland.
- 1996 Fluke, J., Cotton, E., Harper, C., Berdie, J., Salovitz, B., Edwards, M., Brittan, C., Groginski, L., **Illinois Child Endangerment Risk Assessment Protocol: A Report Concerning the Development and Testing of the Protocol**, Illinois Department of Children and Family Services.
- 1996 Presenter, **The Status of Child Welfare Data**: Meeting of the Child Protection Study Group, The Institute for Families in Society, University of South Carolina, Wild Dunes, South Carolina.
- 1995 Presenter, **The Children's Services Simulation Model (CSSM)**, 30th Annual Meeting of the National Association of Child Welfare Research and Statics, Jackson Hole, Wyoming.
- 1995 Fluke, J. Baumann, D., England, T., Kern, H., Law, R., McFadden, T., Schultz, F. **Emerging Critical conceptual Issues in Risk Assessment Research and Practice**, in Eighth National Roundtable on CPS Risk Assessment, Summary of Highlights, Ed. Toshio Tatara. Washington, DC: APWA.
- 1995 Co-Presenter with Ying-Ying Yuan, **NCANDS: The National Child Abuse and Neglect Data System: state and national perspectives**; APSAC fourth National Colloquium, Tucson, Arizona.
- 1994 Presenter, **Modeling Children's Services**, Tenth International Congress on Child Abuse and Neglect, Kuala Lumpur, Malaysia.
- 1994 Presenter, **Organizational Development: Application in Child Welfare Services**, Recipe for Excellence: Measuring Quality in Child Welfare Services, Keystone, Colorado.
- 1994 Fluke, J., Wells, S., England, P. , Walsh, W., English, D., Johnson W., Gamble, T., and Woods, L., **Evaluation of the Pennsylvania Approach to Risk Assessment**, in Seventh National Roundtable on CPS Risk Assessment, Summary of Highlights, Ed. Toshio Tatara. Washington, DC: APWA.
- 1993 Presenter, **Decision Support Systems**, Tenth National Conference on Child Abuse and Neglect, Pittsburgh, Pennsylvania.
- 1993 Presenter, **Evaluation of the Pennsylvania Approach to Risk Assessment**, Eighth Roundtable on CPS Risk Assessment, San Francisco, California.

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- 1993 Fluke, J, **Some Ways of Thinking About Outcome Measurement**, in Summary of Proceedings; First National Roundtable on Outcome Measures in Child Welfare Services, Ed. Nancy McDaniel, The American Humane Association: Englewood, CO.
- 1991 Presenter, **Optimizing Outcomes and Resources for Effective Child Protective Services**, Reaffirming Our Roots-Ninth National Conference on Child Abuse and Neglect, Denver, Colorado.
- 1991 Presenter, **Mini-Plenary-Toward a Shared Understanding: The Development and Use of Child Welfare Information**; Reaffirming Our Roots-Ninth National Conference on Child Abuse and Neglect, Denver, Colorado.
- 1991 Presenter, **An Automated Model for Determining Costs of Child Protective Services**, National Association for Welfare Research and Statistics, Charleston, South Carolina.
- 1991 Faculty Presenter, **Application of Decision Support Technology in Child Welfare Services**, Human Services Information Technology Applications-2, New Brunswick, New Jersey.
- 1991 Fluke, J. D., Risk Assessment and Workload Characteristics, in **Summary of Highlights-Fourth National Roundtable on CPS Risk Assessment**, Ed. Toshio Tatara, American Public Welfare Association, Washington, D.C.
- 1991 Wells, S. J., Anderson, T. L., Fluke, J. D., Screening and Risk Assessment in Child Protective Services, in **Summary of Highlights-Fourth National Roundtable on CPS Risk Assessment**, Ed. Toshio Tatara, American Public Welfare Association, Washington, D. C.
- 1990 Interview with John Fluke, **Computer Use in Social Services Network**, 10(1), pp. 7-10.
- 1989 Presenter, **Workload Analysis and Resource Management in Child Protective Services**, 8th National Conference on Child Abuse and Neglect, Salt Lake City, Utah.
- 1989 Fluke, J., Edwards, M., and Stith, R., **The Cost of Child Protective Services, Protecting Children**, 6(3), pp. 25-29.
- 1988 Presenter, **Workload Analysis and Resource Management**, Annual Meeting of National Association of Public Child Welfare Administrators, Washington, D.C.
- 1988 Presenter, **Various Topics**, 1988 Annual Meeting of the American Association for Protecting Children, Tacoma, Washington.
- 1988 John D. Fluke and Greg O'Beirne, **Prospects for Artificial Intelligence in CPS Reorganization Efforts in Protecting Children**, Vol 4(4), pp 7-10.

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- 1987 Presenter, **Prospects for the Application of Artificial Intelligence in Child Protective Services**, First International Conference for Human Services Information Technology Applications, Birmingham, UK.
- 1987 Presenter, **Various Topics**, 1987 Annual Meeting of the American Association for Protecting Children, Austin, Texas.
- 1986 Presenter, **Is Child Abuse Increasing**, 1986 Annual Meeting of the American Association for Protecting Children, Denver, Colorado.
- 1986 Presenter, **Reporting and Response to Child Abuse and Neglect**, Seventh International Congress on Child Abuse and Neglect, Sydney, Australia.
- 1986 Presenter, **National Association for Welfare Research and Statistics**, Richmond, Virginia.
- 1985 Presenter, **Analysis of 1984 Child Abuse and Neglect Reporting Data**, Seventh National Conference on Child Abuse and Neglect, Chicago, Illinois.
- 1984 Organizer, **Working Conference on Child Protective Services Policy** in conjunction with the 1984 Annual Meeting of the American Association for Protecting Children, Anaheim, California.
- 1984 Organizer, Conference session on policy research in **Child Protective Services** for the Second National Conference for Family Violence Researchers at the University of New Hampshire.
- 1984 Suski, L.B., Schene, P., Fluke, J.D., Costello, T., **Navy Family Advocacy Program: The Management and Utilization of Program Information**, American Humane Association, Denver, Colorado.
- 1984 Fluke, John, **Reports of Child Maltreatment by Medical Sources**, American Humane Association, Denver, Colorado.
- 1983 Bycer, A.M., Fluke, J.D., Costello, T., Schene, P., Breed, L., **Navy Family Advocacy Program: The Demographics of Family Violence on the Navy and Marine Corps**, American Humane Association, Denver, Colorado.
- 1983 Trainor, C.M., De Panfilis, D., Fluke, J.D., **Child Abuse and Neglect Reporting and Disposition in the State of Virginia**, American Humane Association, Denver, Colorado.

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- 1981 **Aggregation and Compatibility of Social Service Data.** An unpublished paper presented at the First National Conference for Family Violence Researchers, Durham, New Hampshire.
- 1980 Yomut Turkmen Bride Price and Marriage Preference Rules: **An Economic Selection Hypothesis with Demographic Controls.** Unpublished MA Thesis, Pennsylvania State University.
- 1979- Contributing Author, **National Study on Child Neglect and Abuse Reporting,**
1988 American Humane Association, Denver, Colorado.

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EDUCATION

1981 Ph.D., Social Psychology, Arizona State University
(emphasis on Applied Social/Community Psychology)

1978 M.A., Social Psychology, Arizona State University

1975 B.A., Magna Cum Laude, Arizona State University

PROFESSIONAL EXPERIENCE

Present: Senior Research Fellow, American Humane Association and Instructor, Saint Edwards University.

1997 - 2010: Head of Program Evaluation and Research, Child Protective Services, Texas Department of Family and Protective Services.

Research & Evaluation Activities: Principal Investigator on a number of grants funded through the Child Abuse and Treatment Act, Casey Family Programs and The American Humane Association. The general purposes of the grants were program evaluation and decision-making. For example, one grant was used to implement and evaluate a state law requiring the agency to screen more serious cases into a child abuse investigation track and less serious cases into an assessment track. A second developed an actuarial model that allowed the agency to build into the Child Protective Services computerized data system that "alerted" caseworkers to the potential in a case for a future child fatality. Another large project involved understanding the disproportionate number of African Americans in foster care. Analyses involved accessing large-scale data sets (millions of records) from state systems and constructing

secondary data sets from these data and interview and survey data accessed elsewhere. In a typical year, three to four large scale research and evaluation projects were funded by grants and ten moderate size projects funded through the department were conducted. Analyses were conducted using SAS, SPSS and other, packages. The typical types of analyses included descriptive work, multiple regression, logistic regression, neural network, structural modeling and multi-level modeling. The projects also required managing tight project timelines. Publications, reports and conference presentations resulted. In a typical year, three to four large scale research and evaluation projects and ten moderate size projects were conducted. The overarching purposes of the projects were to enable management to make programmatic decisions and to understand and aid caseworker decision-making.

Supervision and Teaching: Recruited, trained, and supervised four Ph.D. Research Associates, five Program Specialists, one Masters level Research Assistant, two graduate students, six Research Assistants, and two undergraduate Independent Study students. The section typically is comprised of a team of seven to ten individuals at any one time as they work on a variety of projects. These include three major multi-year research projects, three single year research projects, and numerous ad hoc short-term projects. Additional supervision duties include oversight on contracts awarded for research projects conducted by independent organizations (typically a university). In addition to working closely with management and staff, supervision duties include quality assurance, research design, measurement development, data collection and analysis, publications, report writing and presentation. Taught at least one course per semester from 2000 to the present at St. Edward University. Classes include Research Methods, Abnormal Psychology, Personality Theory, Social Psychology, Developmental Psychology, Program Evaluation, and Tests and Measurement.

Consultant on eight federally funded multi-year research grants.

1997 - 1991: Lead Researcher, Program Evaluation & Research (formerly Program Assessment Section), Child Protective Services, Texas Department of Protective and Regulatory Services (formerly DHS).

Research and Evaluation Activities: Co-principal Investigator on a three-year research grant funded by the Child Welfare Division of the Department of Health and Human Services. The purpose of the grant was to study caseworker decision-making and risk assessment. Structural and other models that used environmental, organizational, individual, and case factors were used to predict shifts in judgment thresholds and decision consequences (e.g., child safety, burnout and turnover) were developed. Numerous data sets were developed. They required acquiring data from state systems using SQL and other programs, constructing data sets from these data and data from other sources (e.g., public, caseworkers, etc.), and conducting diagnostics and analyses on them through the use of SAS, SPSS and other packages (in particular survival, time series and other forecasting procedures were often used. The resulting report covered twelve chapters and a book on the topic is being negotiated. Many conference presentations resulted, one of which was a keynote address.

Tested models of organizational performance using techniques from operations research (e.g., linear programming/optimization etc.). This involved developing and simultaneously testing sets

of system performance equations. Worked on a number of smaller research studies that included workload management, worker performance, and outcome measurement. Outcome measurement included being familiar with education-related issues.

Began directing a three year Federally funded research grant funded through the Child Abuse and Treatment Act to develop empirical models that screened cases in and out of the system of care at various decision points (e.g., risk and safety instruments).

Worked with numerous agencies and groups (i.e., shelter providers, foster parents, residential treatment facilities, etc. to help develop outcome measures that were used to begin building a quality assurance system that would allow performance feedback to the agencies and the department. The development of stakeholder satisfaction surveys was also part of this three-year process. This involved knowledge of the Texas education system and a familiarity with large-scale education data sets.

Consultant to several states and agencies on decision-making and risk assessment.

Supervision and Teaching: Recruited, trained, and supervised two Ph.D. Research Associates, one Masters level Research Assistant, three graduate students, four Research Assistants, and 10 to 15 undergraduate Independent Study students. The section typically had a team of ten of these individuals at any one time as they worked on two major multi-year, and numerous single study, research projects. Individuals participated at every level of the projects from design (qualitative and quantitative) to data collection and analysis (e.g., descriptive, predictive, structural modeling, etc.), through report writing and verbal presentations to agency staff and management. Additionally, helped develop one of the early quality assurance systems in the division. Taught at least one psychology course per semester from 1993 to 1997 at Austin Community College.

1989-1991: Visiting Professor, Department of Psychology, Trinity University, San Antonio, Texas.

Research and Evaluation Activities: Principle Investigator on a grant from the City of Houston, Harris County, the United Way of the Texas Gulf Coast, and McKinsey and Company. The purpose of the grant was to conduct research and program planning on homelessness, in particular to produce an empirically based plan for coordinated services among a diverse service delivery system. In order to collect data, a methodology to obtain a representative sample of homeless individual on the street, in shelters, in abandoned buildings and temporarily housed with others had to be devised. This resulted in an estimation procedure presented to the U.S. Census Bureau. The research involved coordinating individuals collecting data from the homeless throughout the city of Houston and outlying areas as well as managing challenging timelines. A large-scale report and the distribution of seven million dollars to various agencies resulted.

Research Director on a program evaluation of a three-year team case management demonstration project from the U.S. Department of Health and Human Services involving mental health and

employment among homeless adolescents, women and adult men. Data collection involved acquiring data from state systems, constructing data sets from these data and data from other sources (e.g., the homeless, providers, etc.), and conducting diagnostics and analyses on them through the use of SAS, SPSS and other packages. Numerous reports resulted.

Supervision and Teaching: Recruited, placed with the City of Houston, trained and supervised ten graduate students from Texas Southern University, one from Saint Thomas University, and two from the University of Houston. The research/planning team worked with McKinsey and Company and other community leaders (e.g., the City Council, County Commissioners, board members, etc.) to produce a plan for the homeless.

Recruited, trained, and supervised ten undergraduate students from the University of Texas who were part of a research team to study case managed job training for the homeless. Students worked with the Austin Women's Center, the Salvation Army, Middle Earth, the Private Industry Council, and the Texas Employment Commission as part of the Project.

Taught courses in Introductory Psychology (four semesters), Social Psychology (two semesters), Developmental Psychology (two semesters), Motivation and Emotion (one semester), Personal Relationships (one semester), Social Problems (one semester), and Independent Readings/Research (two semesters). Directed and advised undergraduate students, participated with the faculty in curriculum development, and supervised numerous research projects on campus.

1982-1989: Assistant Professor, Department of Psychology, University of Texas at Austin.

Research and Evaluation Activities: Principle Investigator, Austin Police Department. Quasi-experimental investigations of time spent by police officers on chronic nuisance calls. In order to accomplish this, SAS was purchased by the police department, installed on the main-frame and a programmer who understood the data base was assigned to work with the Principle Investigator. A process for reducing chronic nuisance calls resulted.

Supervision of a Doctoral Dissertation of police decision making as a function of prior dispatched expectancies. Studies involved the retrieval of archival data from the Police Department's main-frame computer using SAS and the use of the police training academy.

Principle Investigator, University of Texas. Theory and research involving rape cases based on a consent defense. Studies involving actual data from the Austin District Attorney's Office and simulated juror studies were conducted. Publications resulted. Analyses involved the use of SPSS.

Principle Investigator, the Hogg Foundation and the City of Austin. The purpose of the two years of funding was to develop theory, conduct research, and provide program planning, and program evaluation on the homeless. A methodology was developed to collect a representative sample of street homeless, data were collected and both a model of homelessness and of service provision was provided. The work continued beyond the project for six years. Analyses

involved the use of SPSS. Publications, reports, and conference presentations resulted.

Principle Investigator, Policy Research Institute, University of Texas. The purpose of the grant was to investigate arrest rates among the mentally ill. This project involved demonstrating that visibility rather than criminalization caused heightened arrest rates among the homeless mentally ill. A report resulted.

Principal Investigator, University of Texas. Programmatic research involving the issue of altruism vs. egoism. This laboratory research program extended from graduate school spanning eight years and resulted in a number of publications.

Supervision and Teaching: Developed relationships with the Austin Police Department and the Travis County Prosecutor's office. Supervised graduate and undergraduate students working with these agencies. Students wrote theses and articles.

Recruited, trained and supervised ten graduate students from Psychology, Sociology, and Social Work to conduct two years worth of research and planning on the homeless. Supervised and trained at least 5 graduates and ten undergraduate students from the Department of Psychology each semester. Worked with the Austin City Council, the Downtown Partners, the Salvation Army, MHMR, the Health Department, the Battered Women's Center, local churches and private citizens in the process. Students wrote reports and articles.

Taught undergraduate courses in Introductory Psychology (14 semesters), Social Psychology (six semesters), and Independent Study (14 semesters). Taught graduate courses in Applied Social Psychology (six semesters) where a large share of the course was devoted to program evaluation, quasi-experimental methods, and qualitative methods. Taught Special Topics at a graduate level on Altruism and Homelessness (one semester each). Recruited and advised undergraduate and graduate students, wrote and secured grants, supervised internships, conducted and directed research, served on the Faculty Senate, the Department Budget Council, and departmental committees.

1981 - 1982: Faculty Associate, Department of Education, Arizona State University.

Research and Evaluation Activities: Project Director, qualitative and quantitative program evaluation of an academic program designed to provide tutoring and advisement to student-athletes at Arizona State University. Required knowledge of education-related issues and of large-scale educational data sets.

Principle Investigator, City of Phoenix Police Department/Phoenix South Community Mental Health Center. Quasi-Experimental and qualitative program evaluation of crisis intervention services provided to individuals on the part of a police-citizen crisis intervention program. The principle dependent measures were number of police calls and time spent by police officers per call. Database consisted of over 10,000 police calls from a two year period and six months of observations of police and crisis intervention workers.

Consultant on grant from the National Institute of Drug Abuse. The purpose of the grant was to investigate the effects of treatment upon heroin abusing males and females.

Consultant on a contract with the State of Arizona. The purpose of this project was to develop and implement an outcome measurement instrument to be used by providers of various programs throughout the state of Arizona.

Research Supervision and Teaching: Recruited, trained and supervised five graduate students from the Department of Education and two undergraduates from the Department of Psychology to study student athletes. Students worked with the University administration, Faculty Senate, and the Athletic Program. Students participated in qualitative and qualitative data collection and analysis and report writing.

Recruited, trained and supervised ten undergraduate and one graduate student who participated in observations of police officers and crisis intervention workers on the job. Qualitative and quantitative data were collected, and analyzed. Students also wrote reports and articles.

Taught courses in Social Psychology (two semesters) and Independent Study (two semesters). Advised undergraduate and graduate students. Wrote and secured grants, supervised internships, conducted and directed research.

1976-1981: Graduate Student, Arizona State University.

Research and Evaluation Activities: Research Assistant, Phoenix South Community Mental Health Center. Directed program evaluation and development, provided methodological and statistical consultation, and directed the development of computerized research data base systems. Additional duties included development and supervision of theoretical as well as practice models for rates under treatment studies, fee collections studies, etc.

Research Assistant with a multidisciplinary team that sought to better understand literacy development in the Community College. Research involved investigating the relationship between stress and the use of social support systems by minorities in the Community College. Duties included instrument development and implementation, staff training and management and statistical analysis of data.

Planner, Migrant Opportunity Program. Phoenix, Arizona. Duties included, grant writing, program planning and evaluation, and staff training and development.

Research Analyst, state-funded career education survey, Career Education Evaluation Project, Arizona State University. Duties included conceptual and statistical consultation.

Research Analyst, Alcohol Treatment Programs, Veterans Administration Hospital, Phoenix, Arizona. Developed and experimentally tested an attribution model of therapeutic intervention.

Project Director, State-funded needs assessment survey, Community Behavioral Health Services, Phoenix West Central Catchment area. Planned, developed and tested a needs assessment model based on primary prevention.

Supervision and Teaching: Taught courses in Social Psychology (four semesters), Introductory Psychology (one semester), Developmental Psychology (one semester), and Personality Theory (one semester). The latter three courses were taught at a community college. Supervised and trained undergraduate students and conducted research. Provided field placements for students in a mental health center and a farmworker program.

PUBLICATIONS:

Kenrick, D., Baumann, D., & Cialdini, R. (1979). A step in the socialization of altruism as hedonism: Effect of negative mood on children's generosity under public and private conditions. *Journal of Personality and Social Psychology*, 37, (5), 747-755.

Christiansen, J.A., Reich, J.W., Obitz, F.W., & Baumann, D. (1980). Effect of information about role and outcome on alcoholics attributional processes. *Journal of Studies on Alcoholism*, 11, 922-929.

Baumann, D., Cialdini, R., & Kenrick, D. (1981). Altruism as hedonism: Helping and self-gratification as equivalent responses. *Journal of Personality and Social Psychology*, 40, 1039-1046.

Cialdini, R., Baumann, D., & Kenrick, D. (1981). A new unobtrusive measure of attitude. *Social Psychology Quarterly*, 44, 254-259.

Cialdini, R., Baumann, D., & Kenrick, D. (1981). Insights from sadness: three-step model of the development of altruism as hedonism. *Developmental Review*, 1, 207-223.

Cialdini, R., Kenrick, D., & Baumann, D. (1982). Effects of mood on prosocial behavior in children and adults. In N. Eisenberg (Ed.), *Development of Prosocial Behavior*. New York: Academic press.

Baumann, D., Obitz, F., & Reich, J. (1983). Attribution theory: A fit with problems of substance abuse. *International Journal of the Addictions*, 18, 299-307.

Baumann, D., Cialdini, R. & Kenrick, D. (1983). Mood and sex differences in the development of altruism as hedonism. *Academic Psychology Bulletin*, 5, 2, 299-307.

Baumann, D.J. (1984). Decision with consequences (Review of *The Badge and the Bullet: Police Use of Deadly Force*). *Contemporary Psychology*, 29, 557-558.

Manucia, G., Baumann, D. & Cialdini, R. (1984). Mood influences on helping: Direct effects or side effects? *Journal of Personality and Social Psychology*, 46, 2, 357-364.

Okun, M.A., Kardosh, C.A., Stock, W.A., Sandler, I.N., & Baumann, D. (1986). Measuring perceptions of the quality of academic life among college students. *Journal of College Student Personnel*, 27, 5, 447-451.

Baumann, D., Schultz, D.F., Brown, C., Paredes, R., & Hepworth, J. (1987). Citizen participation in police crisis intervention activities. *American Journal of Community Psychology*. 15, 4, 459-471.

Baumann, D., & Grigsby, C.G. (1988). *Understanding the homeless: From research to action*. Hogg Foundation for Mental Health, University of Texas.

Okun, M.A., Baumann, D., & Sandler, I.N. (1989). Ethnicity, source of informal support, and buffer and booster effects for school events. *American Journal of Community Psychology*.

Grigsby, C.G., Baumann, D., Gregorich, S. & Roberts-Gray, C. (1990). Disaffiliation to entrenchment: A model for understanding homelessness. In B. Shinn (Ed). *Journal of Social Issues: Special Edition on Homelessness*, 46, 4, 1414-156.

Baumann, D., Roberts-Gray, C., Grigsby, C. (1991). Estimates of the homeless in Houston, Texas. In M. Taeuber (Ed), *Conference proceedings for enumerating homeless persons: Methods and data needs*. U.S. Bureau of the Census, Washington, D.C., pp. 177-178.

Baumann, D., & Holahan, C.J. (1992). The community psychologist. In Gifford, R. (Ed). *Psychology in Everyday Life: An Introduction to the Practices of Psychology*. Allyn & Bacon: Boston.

Gains, S.O., Roberts, D., & Baumann, D. (1993). When all the World's a Stage: The impact of events on news coverage of South Africa. *Journal of South African Studies*.

Kern, H., Baumann, D., & Sheets, D. (1994). Texas WISDOM: A three-year research project to build effective CPS decision making instruments. In Tatara, T. (Ed). *Seventh National Roundtable on Risk Assessment: Summary of Highlights*. American Public Welfare Association, Washington, D.C.

Fluke, J., Baumann, D., England, P., Kern, H., McFadden, T., and Schultz, D.F. (1995). Emerging critical conceptual issues in risk assessment research and practice. In Tatara, T. (Ed). *Eighth National Roundtable on Risk Assessment: Summary of Highlights*. American Public Welfare Association, Washington, D.C.

Baumann, D. & Sheets, J. (1997). Foundations of the decision making ecology and patterns of decision making. In Tatara, T. (Ed). *Eight National Roundtable on Risk Assessment: Summary of Highlights*. American Public Welfare Association, Washington, D.C.

Baumann, D. (1997). Decision theory and CPS decision making. In Morton, T.D. and Holder, W. (Eds). *Decision Making in Children's Protective Services: Advancing the State of the Art*.

National resource Center on Child Maltreatment, Atlanta, pp17-37.

Baumann, D., Sheets, J., Graham, J.C., Gober, K., and Reid, G. (1999). Concept guided risk assessment. In Edwards, M. (Ed). *Tenth National Roundtable on Risk Assessment: Summary of Highlights*. American Humane Association, Denver, CO

Caouette, K. & Baumann, D. (2000). Texas 2000; The evolution of risk assessment in Texas. In Edwards, M. (Ed). *Twelfth National Roundtable on Risk Assessment: Summary of Highlights*. American Humane Association, Denver, CO

Fluke, J., Graham, J.C., Baumann, D. & Esterline, J. (2001). *System dynamics simulation of child welfare permanency outcomes: An application of the Children's Services Simulation Model*. In Hernandez, M. & Hodges, S. (Ed). Brooks, Baltimore

Osborne, R., Baumann, D. & Osborn, M. (in press). Perceptions of health on the part of the homeless. *Journal of Homelessness Studies*.

Baumann, D., Graham, J.C., Beauvais, C., and Bradstreet, R. (accepted with revisions). Moral evaluations and the law: A prototypical case. *Journal of Applied Social Psychology*.

Baumann, D. J., (1997). Decision theory and CPS decision making. In Morton, T.D. and Holder, W. (Eds). *Decision Making in Children's Protective Services: Advancing the State of the Art*. National resource Center on Child Maltreatment, Atlanta, pp17-37.

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Fluke, J., Graham, J.C., Baumann, D. J., & Esterline, J. (2001). *System dynamics simulation of child welfare permanency outcomes: An application of the Children's Services Simulation Model*. In Hernandez, M. & Hodges, S. (Ed). Brooks, Baltimore

Baumann, D.J., Law, J.R., Sheets, J., Reid, G., & Graham, J.C (2005). Evaluating the effectiveness of actuarial risk assessment models. *Children and Youth Services Review*,_27, 465-490.

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